



SCERS

SACRAMENTO COUNTY
EMPLOYEES' RETIREMENT SYSTEM

**REQUEST FOR
PROPOSAL:
PENSION
ADMINISTRATION
SYSTEM**

PROPOSAL DATE:
FEBRUARY 17TH, 2017

RESPONSE DUE DATE:
MAY 10TH, 2017



Table of Contents

Table of Contents 2

1 Introduction 5

2 Purpose 6

3 Minimum Qualifications..... 7

4 Timeline 8

 4.1 Milestones 8

 4.2 Notice of Qualification & Intent to Propose 8

 4.3 Written Questions 9

 4.4 Request for proposal (RFP) issued..... 9

 4.5 Bidder Conference 9

 4.6 Individual Bidder Meetings..... 9

 4.7 Proposals Due 10

 4.8 Finalists Selected 10

 4.9 Finalists' Oral Interview and Software Demonstration 10

 4.10 Successful Bidder Announced..... 10

 4.11 Contract Negotiations Begin..... 10

5 Background 10

 5.1 Current Organizational Status/Situation/Structure..... 10

 5.2 Member Data Sources – MBASE & COMPASS..... 12

 5.3 Electronic Document Management System and Imaging Infrastructure..... 12

 5.4 Summary of Data Sources 12

 5.5 Data completeness in the current system..... 13

 5.6 Data Conversion Vendor..... 13

6 Services to be Provided 13

 6.1 Project Scope and Requirements 14

 6.2 PAS Functional Areas 14

 6.3 Hosting Options 15

 6.3.1 Option 1: DTech - Hosted..... 15

 6.3.2 Option 2: Vendor-Hosted During Development Only..... 15

 6.3.3 Option 3: Vendor-Hosted After Go-Live..... 15



RFP for Pension Administration System



6.3.4 Completeness of Response 16

7 Terms and Conditions 17

7.1 Terms and Conditions 17

7.1.1 Fixed Price 17

7.1.2 Escrow 18

7.1.3 Price Increases 18

7.1.4 Advance Payments 18

7.1.5 Performance Holdbacks 18

7.1.6 Prime Contractor 18

7.1.7 Data Security / Data Handling 18

7.1.8 Most Favorable Terms 19

7.1.9 Taxes 19

7.1.10 Insurance Requirements 19

7.1.11 Effective Dates of Offer 21

7.1.12 Cost of Preparing Proposal 21

7.1.13 Readability 21

7.1.14 Bidder Responsibility 21

7.1.15 Changes in Proposals 21

7.1.16 Bidder Responsibility to Provide Full Response 21

7.1.17 Errors in Proposals 22

7.1.18 Withdrawal of Proposal 22

7.1.19 Rejection of Proposals, Right to Cancel 22

7.1.20 Incorporation of RFP and Proposal in Contract 22

7.1.21 Non-Endorsement and Publicity 22

7.1.22 Indemnification During the RFP Process 22

7.1.23 Sole Property 23

7.1.24 Proprietary Information 23

7.1.25 Independent Contractor 23

8 Functional Specifications 24

8.1 Priority Definitions 24

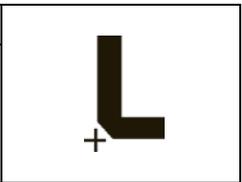
8.2 Pricing and Priority Designation 25

8.3 Functional Requirements 25



Sacramento County Employees' Retirement System

RFP for Pension Administration System



9 Technical Specifications.....25

10 User Experience.....25

11 Implementation26

 11.1 Scope, Constraints, Guidelines of the Bidder’s Responsibility26

 11.2 Response Requirements.....28

 11.2.1 Implementation Scope.....28

 11.2.2 Implementation Plan.....28

 11.2.3 Data Conversion Plan.....31

 11.2.4 Staffing Plan31

 11.2.5 Testing Plan.....32

 11.2.6 Training Plan.....33

12 Maintenance and Support33

13 Organization & References.....34

14 Assumptions and Exceptions34

 14.1 Assumptions34

 14.2 Exceptions.....34

15 Evaluation Criteria.....34

 15.1 Solution Cost.....34

 15.2 Proposal Review35

16 Submission Requirements.....36

 16.1 Summary of Response Requirements36

17 Appendix..... **Error! Bookmark not defined.**

 ATTACHMENT 1: Qualification & Intent to Bid **Error! Bookmark not defined.**

 ATTACHMENT 2: Executive Summary and Table of contents..... **Error! Bookmark not defined.**

 ATTACHMENT 3: Functional Requirements..... **Error! Bookmark not defined.**

 ATTACHMENT 4: FUNCTIONAL Requirements Response **Error! Bookmark not defined.**

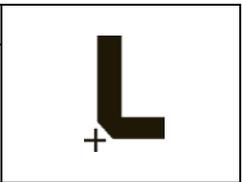
 ATTACHMENT 5: Technical Requirements..... **Error! Bookmark not defined.**

 ATTACHMENT 6: Technical Questionnaire **Error! Bookmark not defined.**

 ATTACHMENT 7: Maintenance & Support..... **Error! Bookmark not defined.**

 ATTACHMENT 8: Organization & References **Error! Bookmark not defined.**

 ATTACHMENT 9: Implementation and Staffing **Error! Bookmark not defined.**



ATTACHMENT 10: Assumptions & Exceptions..... **Error! Bookmark not defined.**
ATTACHMENT 11: Cost Worksheet..... **Error! Bookmark not defined.**
ATTACHMENT 12: DTech Infrastructure and Capabilities **Error! Bookmark not defined.**
ATTACHMENT 13: Confidentiality..... **Error! Bookmark not defined.**

1 Introduction

Sacramento County Employees' Retirement System (SCERS) is a multiple-employer public employee retirement system, enacted and administered in accordance with the provisions of the County Employees Retirement Law of 1937 (California Government Code Section 31450, et seq.) (1937 Act). Since its creation by the Sacramento County Board of Supervisors in 1941, SCERS has provided retirement, disability, and survivors' benefits to eligible participants which include permanent full-time and part-time employees of the County of Sacramento; Superior Court of California (County of Sacramento); and eleven Special Districts.

SCERS has approximately 12,400 active members, 11,000 retired members, and 3,300 deferred members. As of June 30, 2016, SCERS' net position restricted for pension benefits totaled \$7.7 billion.

SCERS has utilized their current systems to administer pension benefits for over 15 years. The use of multiple systems requires SCERS staff members to conduct a number of core business functions through various manual processes. The use of the current non-integrated systems is preventing SCERS from achieving automation and creates obstacles to achieve the following objectives:

- Providing excellent customer service to members
- Operating the fund in an efficient and cost-effective manner
- Safely and accurately maintaining member and financial information

To address these challenges, SCERS has defined and undertaken an Information Technology Modernization Program. This program will include replacing the current pension administration system, incorporating workflow solutions, implementing new member and employer-facing web portals, implementing a new investment accounting system, introducing case management, and integrating or replacing the legacy Electronic Content Management System (ECM). This program will also involve the migration from the County's Financial Reporting System to a SCERS owned system. By initiating an IT Modernization Program to address these issues, SCERS is preparing for the future through continuous process improvement and implementation of best practices in the pension industry.

SCERS is a tax-qualified governmental defined benefit plan. Eligible employees automatically become members of SCERS as a condition of employment. Benefits are determined by formulas that vary according to the type of benefits payable (for example, retirement, disability

or survivor benefits). The formulas are based on such factors as a member's salary, age, years of service credit, and membership classification (First, Second, Third, Fourth, and Fifth Tier Miscellaneous, and Safety First, Second, Third, and Fourth Tier). The plan is funded by employer contributions, employee contributions, and investment earnings.

SCERS members have a five (5) year vesting requirement. SCERS, the nineteen other 1937 Act County systems, CalPERS, and CalSTRS have a reciprocal agreement to ensure continuity of benefits for members who change employers and transfer between the retirement systems under certain circumstances. If a SCERS member qualifies for reciprocity with a reciprocal system, service credit accrued under both systems can be used to determine whether a member is vested in his or her benefits under each retirement system. Salary from employment covered under both systems can also be used in the benefit calculation.

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

$$\text{Service Credit} \times \text{Age Factor} \times \text{Final Compensation}$$

SCERS' main sources of revenues are investment income and contributions from participating employers and members. Total employer and member contributions were \$291 million and \$287 million for fiscal years 2014-2015 and 2015-2016, respectively. For the same years, SCERS provided and administered total annual benefit payments of approximately \$372 million in 2014-2015 and \$403 million in 2015-2016 to its retired members and beneficiaries.

2 Purpose

The purpose of this RFP is to solicit proposals from qualified firms, hereafter referred to as "Bidder," to select and implement a commercially available pension administration solution (PAS) that will transform SCERS' business operations from its current highly manual environment to one where key business processes are centralized, more automated and utilize a single integrated data set. SCERS seeks a Bidder to provide software and implementation services and support post-implementation. The successful Bidder must demonstrate long-term viability, commitment to its product and the public retirement industry, and must have a client base to provide and sustain a long-term solution for SCERS.

SCERS seeks to enter a long-term business relationship with a PAS Bidder that:

- A. Has a history of successful implementation of comparable projects with agencies of similar size and complexity as SCERS
- B. Has a long-term commitment to the pension administration system business and has long term viability as a company
- C. Includes an integrated Electronic Content Management (ECM) functionality, either as a tightly integrated third-party application or a **modularized** component of the PAS software that can be "turned on or off". SCERS may replace its current FileNet ECM software as part of this project.

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	

- D. Has a robust, product enhancement strategy for both software functionality and architecture that will keep it current with industry trends, standards, compliance, and regulations without the need for customization by SCERS
- E. Can provide an efficient and proven set of implementation services to ensure SCERS leverages the capabilities of the software to implement new business processes and achieve its business goals.
- F. If providing a hosted solution, the firm will have the staffing and facilities to support SCERS security, performance, availability, reliability, disaster recovery, business continuity, and operational requirements.
- G. Provides high quality, responsive software maintenance and support services for the installed system.

This RFP can be found on the SCERS website at www.SCERS.org. If potential Bidders are unable to download this document from the website, they can also obtain an electronic copy of this RFP through e-mail. Requests should be sent to Retirement-ITProjects@saccounty.net. All responses to this RFP must be submitted in accordance with the instructions contained in this RFP.

Regardless of the way the RFP document is received by the Bidder, the contents of the RFP may not be altered in any way. The Bidder's affidavit and all questions must be identically reproduced in the submitted proposal. Any alterations to the contents of the RFP document will be grounds for dismissal from consideration or termination of a resulting contract. By submitting a proposal, it is agreed by the Bidder that any misleading or false information given may be grounds for dismissal from consideration, or termination of any resulting contract, whenever and however discovered.

3 Minimum Qualifications

Using [Appendix Attachment 1: Minimum Qualifications & Intent to Bid](#), clearly show that your product or service meets these minimum qualifications or your proposal will be rejected as non-responsive. Proposals submitted without this written response will be rejected as non-responsive. SCERS may choose to determine minimum qualifications by reading the Minimum Qualifications & Intent to Bid document alone, so the submission should be sufficiently detailed to clearly demonstrate minimum qualifications without reference to any other material. Those that are not clearly responsive to these minimum qualifications will be rejected without further consideration.

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

1. The Bidder must have been in the pension administration system solution delivery business for the past **five years**.
2. The solution must represent an **integrated pension administration system**, with the exception of the ECM (imaging) and CRM (customer relationship management) module, which may be third-party solutions; however, all components must be integrated with the core, line-of-business functionality.
3. The solution must have the capability to configure **multiple defined benefit plans** and **multiple collective bargaining agreement provisions** within a plan (i.e., can be



maintained on a go-forward basis with future merged plans with grandfathered provisions and collective bargaining agreement exceptions by trained SCERS staff members).

4. The Bidder must have **three (3) references of completed implementations** of the equivalent Pension Administration System being proposed to SCERS. "Equivalent solution" is defined as either the same version of the application or one major version earlier and for funds with a Defined Benefit (DB) plan and a total membership size of at least 10,000 Participants. These references must be for implementations that are no older than five (5) years. At least two (2) of these references must be from North American pension clients.
5. The Bidder must have **experience implementing its own ECM solution** or integrating with the third-party ECM solution being proposed.

4 Timeline

4.1 Milestones

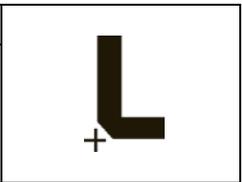
The following table presents the schedule for the selection of SCERS' Pension Administration System Bidder. SCERS will make its best efforts to stay on schedule but reserves the right to adjust the timeline.

RFP Milestone	Milestone Dates
Request for Proposals (RFP) issued	February 17, 2017
Notice of Qualification and Intent to Propose due	March 3, 2017
Written questions from Bidders due	March 17, 2017
Response to written questions posted	March 31, 2017
Bidder Conference	Week of April 3, 2017
Individual Bidder Meetings	April 17-18, 2017
Proposals due	May 10, 2017
Finalists selected	May 31, 2017
Finalists' oral presentations	June 26-30, 2017
Best and final offer process	July, 2017
Successful Bidder announced by SCERS Board of Retirement	August, 2017
Contract negotiations begin	August, 2017

4.2 Notice of Qualification & Intent to Propose

SCERS is requesting all interested Bidders to complete and submit the Qualification and Intent to Bid form in [Appendix Attachment 1](#), as an email attachment to SCERS (Retirement-ITProjects@saccounty.net) confirming their intent and qualification to bid on this project. Please include the following:

- A. Email subject line: [Bidder Name] Intent to Bid on RFP
- B. Email body: Please submit any identifying information indicating that the message is to confirm interest in submitting a proposal. Minimally, Bidders are to include the following information:



- Bidder name
- Product represented
- Contact name
- Contact phone
- Contact email
- Location of Office
- Location of Support Office

4.3 Written Questions

All questions are to be submitted to SCERS no later than the due date and time listed above to allow sufficient time for SCERS to research and prepare helpful answers. All questions must be documented electronically, must identify the RFP section and page number in which their question refers, and will be sent as an attachment to SCERS' email address at SCERS-IT@saccounty.net. Questions must be in a word processing format that can easily be copied and pasted into other documents.

Answers to questions will be posted on the SCERS website and e-mailed to all Bidders who submitted a Notice of Qualification and Intent to Propose. The names of the Bidders who submitted questions will not be revealed.

All potential Bidders should submit any questions that could assist in clarifying aspects of the RFP. Failure to request clarification of any inadequacy, omission, or conflict will not relieve the Bidder of any responsibilities under this solicitation or any subsequent contract. It is the responsibility of the interested Bidder to assure that they received responses to questions if any are issued.

4.4 Request for proposal (RFP) issued

This is the date the RFP will be distributed to potential Bidders. The RFP will be available through the SCERS Website (www.SCERS.org) on the release date.

4.5 Bidder Conference

SCERS will schedule a Bidder Conference meeting to share more detailed information about the project and SCERS' legacy systems. All interested bidders may attend with prior written notification. The vendors must disclose all personnel attending the conference.

4.6 Individual Bidder Meetings

After the Bidder Conference, SCERS will schedule individual meetings with the Bidders who have submitted the Notice of Qualification and Intent to Propose to meet with SCERS staff members in order to better understand SCERS' current operations and unique needs. Each Bidder will be scheduled exclusive time. At SCERS' discretion, additional clarifying information

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	

that result from these discovery days may be released to the qualified Bidders as an addendum to the RFP, but Bidder names will not be shared.

4.7 Proposals Due

All RFP responses, both electronic and paper responses, must be received by SCERS by this date and time to be considered.

4.8 Finalists Selected

The SCERS selection committee will review the RFP responses and select finalists during this period. SCERS due diligence on the responding Bidders, including reference checks and potential site visits, will be conducted during this period.

Should SCERS have questions concerning any Bidder's response during this evaluation period, SCERS may contact the Bidder in writing to request a clarification. Questions may also be posed to Bidders during the oral presentations.

4.9 Finalists' Oral Interview and Software Demonstration

The finalist Bidders will be invited to make an oral presentation at the SCERS offices in Sacramento, California during this period. Bidders are requested to bring all of their named resources to the orals presentations and should be prepared to provide a software demonstration. More details about the orals interviews will be provided to the finalist Bidders at the time finalists are selected.

4.10 Successful Bidder Announced

As part of the Board procedures, SCERS staff must first make a recommendation to its Board of Retirement to enter contract negotiations with a Bidder. Therefore, although SCERS' selection committee will make a presentation to its Board and recommend a winning Bidder, at this meeting, staff will seek approval to move forward with contract negotiations.

4.11 Contract Negotiations Begin

The day after the Board of Retirement meeting, SCERS will begin working with the successful Bidder on the contract between the two parties.

5 Background

5.1 Current Organizational Status/Situation/Structure

SCERS' current solution uses two systems, MBASE and COMPASS. For active members, MBASE is the system of record. It is a custom database application that is hosted by the County of Sacramento Department of Technology (DTech) and is maintained by SCERS' IT staff and

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	

DTech (see [Appendix Attachment 12](#) for additional information on DTech). The current systems limitations require staff to utilize MS Access databases, MS Excel workbooks, and hard copy resources to assist in processes. COMPASS is used for benefits payments to retired members and for general accounting, general ledger, procurement, and human resources.

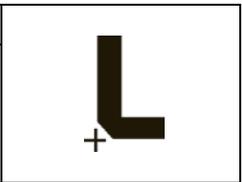
MBASE was implemented in 2001 and is used to import and track data on active and inactive members, excluding retirees and beneficiaries. MBASE has an interface option that imports data from several payroll systems for the County, Special Districts, and the Courts. This application is used to track and manage a variety of items for active employees including but not limited to data used to calculate retirement benefits. The data from this application is used for the Member Web Portal to access the member's account, allowing members to view personal information and to estimate their retirement benefits.

COMPASS is an SAP system used by the County of Sacramento for accounting, payroll, personnel management, procurement, and other functions. This system was custom built for the County, and therefore does not adequately fit the needs of SCERS. SCERS uses COMPASS for accounting, procurement, HR, and to process retiree and beneficiary benefit payments. Certain member information from MBASE must be manually input into COMPASS for certain business processes.

In addition to the supported applications, SCERS' IT staff and DTech maintain FileNet Workplace, an IBM electronic document management solution (EDMS) and local PC and Scanner support. SCERS utilizes Kofax to scan documents into FileNet. Both the current PAS and EDMS systems are accessed via web applications accessed through the County's intranet.

The current PAS supports the following business processes:

1. 1099R Issuance
2. 415(b)
3. Active (Employer) Payroll Data
4. Actuarial Extracts
5. Benefit Estimates
6. Buybacks (Service Purchase)
7. COLA / Special COLA
8. Counseling
9. Death Processing
10. Disability
11. DRO
12. Final Average Salary Calculations
13. General Ledger Extracts
14. Payroll Deductions (Vendor Payments)
15. Interest Posting
16. Member Statements
17. New Hire / Re-hire
18. New Retiree Benefit Set-up
19. Payment Maintenance
20. Reciprocity
21. Refunds (all one-time payments)
22. Retiree Payroll



- 23. Terminations
- 24. Web Portal / Self-Service

5.2 Member Data Sources – MBASE & COMPASS

Active member data is stored in a custom SQL database, MBASE. There are also various custom MS Access databases that contain data that may require conversion to the new system and will be addressed with the selected data conversion vendor. FileNet Workplace stores electronic content images; SCERS has not yet determined if the images will be migrated to a new imaging solution or if they will remain in FileNet. SCERS does not have a preference for specific database software; the database for the new PAS will likely be Oracle or Microsoft SQL Server.

In the current PAS, monthly records for salary, contributions and service date back to 1991. Salary, contributions and service records prior to 1991 are a mix of monthly and yearly records that are contained on microfiche (see below). Even though there is data that dates back to 1991, SCERS has indicated that the data from 1991-1998 will require more cleansing since it was introduced before the current county payroll system was implemented.

Retired member data, including all payment history, and detailed employer reporting data is stored in COMPASS. The system also contains information on beneficiaries and alternate payees (DROs) receiving allowances.

5.3 Electronic Document Management System and Imaging Infrastructure

SCERS currently uses FileNet Workplace for the EDMS. It is not integrated with MBASE, but documents are viewable via a portal within MBASE. FileNet Workplace is not integrated with COMPASS. A stand-alone microfiche document management solution is used for pre-1991 archived documents.

All new images are in PDF format and older documents are in TIFF format.

5.4 Summary of Data Sources

The data sources are summarized below:

Legacy System	Description of Data	Volume/Complexity (if known)
MBASE	Active member data	90 tables / 19,757,061 records
COMPASS	Retired member data & financial data	Unknown – COMPASS is a County-wide SAP program
COMPASS	Historical GL data	Unknown – COMPASS is a County-wide SAP program



FileNet	Member documents	580,000 images, plus 2000 added per month
Microfiche records	Payroll records	33,000 sheets with 200 or more pages of data per sheet
Access DB	Member retirement application processing data	19 tables/5,053 records
Excel	Miscellaneous Data	Unknown

5.5 Data completeness in the current system

SCERS has indicated that there are quality issues with the data, stemming from numerous sources—special district payroll reporting, County payroll, etc. SCERS has indicated that the majority of the payroll data from 1999 forward is accurate, but SCERS' benefit calculations require more detail than what is currently imported into MBASE from employer payroll systems.

MBASE and COMPASS are the systems of record for the PAS. However, due to limitations of the system, the business has created several Excel workbooks for various member processes. The standard practice is to capture the output of these workbooks in the imaging system and associate that data with the member records. In some cases, these workbooks may not reside in FileNet, and thus the data conversion.

5.6 Data Conversion Vendor

SCERS has selected ICON as its data conversion vendor. ICON will be responsible for managing and executing the conversion, from legacy data extraction to the delivery of the final data to the Bidder for conversion. The Bidder will be responsible for working collaboratively with the data vendor to ensure the conversion activities are synchronized with the software development, testing, delivery and deployment tasks. SCERS considers the collaboration of these vendors to be the utmost importance to the success of the project.

6 Services to be Provided

SCERS requires that the implementation delivers the following:

- A stable, robust, and mature software solution, either installed on premises or as a hosted solution
- Thoroughly trained staff
- Thoroughly prepared IT support team
- Quality system documentation and support materials
- Loading data from staging database to the new PAS database



6.1 Project Scope and Requirements

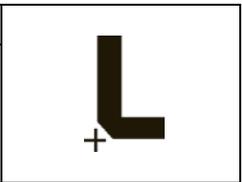
The scope of work for this RFP includes:

- A. Implementation of a pension administration system (PAS) software package that will replace existing critical functionality and automate current manual paper based processes (either on premise or hosted). PAS to include case management, reporting, and basic workflow functionality in addition to core pension administration functionality.
- B. Implementation of electronic content management (ECM) functionality as either a tightly integrated third-party application or a component of the PAS (alternatively, SCERS may require integration with the current ECM solution FileNet).
- C. Full scope of implementation services including initiation, planning, analysis, configuration, testing, training, project management, interface development, data conversion (in concert with SCERS' data vendor) etc.
- D. Assist SCERS in the development of business processes that leverage the new functional capabilities of the PAS and align with industry best practices.
- E. Implementation of member portal for member self-service.
- F. Implementation of partner (employer / vendor) portal for employer reporting and vendors to upload and download documents.
- G. Specifications and pricing for the required hardware and software for the delivery model being bid (on premise or hosted services solution).
- H. Software maintenance and support.

6.2 PAS Functional Areas

The areas below constitute the core functional areas required in SCERS' Pension Administration System (PAS):

- A. 1099R Issuance
- B. 415(b)
- C. Active (Employer) Payroll Data
- D. Actuarial Extracts
- E. Benefit Estimates
- F. Buybacks (Service Purchase)
- G. COLA / Special COLA
- H. Counseling
- I. Death Processing
- J. Disability
- K. DRO
- L. Final Average Salary Calculations
- M. General Ledger Extracts
- N. Payroll Deductions (Vendor Payments)
- O. Interest Posting



- P. Member Statements
- Q. New Hire / Re-hire
- R. New Retiree Benefit Set-up
- S. Payment Maintenance
- T. Reciprocity
- U. Refunds (all one-time payments)
- V. Retiree Payroll
- W. Terminations
- X. Web Portal / Self-Service

6.3 Hosting Options

SCERS is interested in evaluating both on-site and off-site hosting options for the new PAS. Bidders can propose either or both delivery models. They are described below:

6.3.1 Option 1: DTech - Hosted

In this option, the PAS and all of its environments would be hosted and maintained in the County's data center. The Bidder should assume that the hardware will be dedicated to the pension administration system and installed and managed by County and SCERS staff. If the Bidder proposes a solution based on this option, the proposal should include all of the necessary components (both software and hardware) to support the implementation and production environments.

County staff would be the primary point of contact for hardware and network administration, operating system administration, most database operations and administration, and implementation support for PAS updates and upgrades. However, the successful Bidder would continue to provide standard maintenance and support for the application; the Bidder should assume that SCERS will require additional support from the Bidder on an ongoing basis.

6.3.2 Option 2: Vendor-Hosted During Development Only

In this option, the vendor would host the complete system development environment for the duration of the project and then assist with the migration of the environment to SCERS before going live.

6.3.3 Option 3: Vendor-Hosted After Go-Live

In this option, the Bidder or a third-party provider contracting with the Bidder would host all PAS and ECM environments at the Bidder's or third-party location. The system(s) would be accessed securely by SCERS business and technical staff. A Bidder-hosted solution will address the technical and hosting requirements of this RFP. It must also include a separate disaster recovery site in the proposal. The Bidder will be responsible for the performance of the solution: if there are performance issues, the Bidder will be expected to analyze both SCERS' environment and the Bidder's system to determine the source of issues.

Bidders will include detailed information on hosting and support of the application in their response to this RFP if a Bidder-hosted option is included in the proposal, include the following:

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	

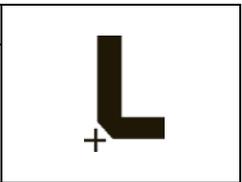
- A. The data center where the system is located will meet the current standards for security and performance (the bidder must provide the standards that are met, in addition to detail as to how that standard is assessed and maintained).
- B. The Bidder will describe service options such as infrastructure as a service (IaaS), platform as a service (PaaS), and software as a service (SaaS) that will be needed; additionally, managed services that include application services, system services, and database administration services will be included.
- C. The Bidder will host the ECM system and the member portal as well as the PAS.
- D. The Bidder will host the system through the implementation in addition to hosting the system in production.
- E. The Bidder will determine the bandwidth requirements for the connection.
- F. The Bidder will advise SCERS on how the connection should be secured, including the level of encryption necessary to maintain a secure system.
- G. The Bidder will propose the standard service level agreements to which they will adhere.
- H. The Bidder will provide the results of third party penetration and security testing and agrees to perform this testing annually, at no cost to SCERS.

The bidder may propose utilizing a major commercial cloud provider, such as Amazon (AWS), Google (Google Cloud), or Microsoft (Azure), as a hosting method.

6.3.4 Completeness of Response

The Bidders are required to provide SCERS with detailed information on:

- A. Cost of software, including licensing costs plus any initial configuration and customization costs for on-premises installation, as well as for a hosted solution if being proposed
- B. Estimates on hardware
- C. Flexibility of the system
- D. Compliance with SCERS business rules and requirements
- E. "Look and feel" of the system
- F. Architecture of the solution
- G. ECM capabilities, either embedded within the PAS or as an integration with a third-party product
- H. Implementation services, which include specifications, development, testing, training, and cut-over support
- I. Annual maintenance and support costs
- J. Financial stability of the company
- K. Any other additional services
- L. Future upgrade costs and support agreement



7 Terms and Conditions

The RFP response from the successful Bidder will be incorporated by reference into the final contract. A final contract will be negotiated between SCERS and the successful Bidder upon approval from the SCERS Retirement Board.

Bidders are responsible for reviewing all specifications, requirements, terms and conditions, insurance requirements, and other requirements herein.

By submitting a proposal, the Bidders acknowledge and agree that such submission is an acceptance of the special terms and conditions that are noted in this RFP. Bidders are to price and submit proposals to reflect all the specifications, requirements, and terms and conditions substantially the same as those included in this RFP. Failure to do so will result in such RFP proposal being deemed non-responsive.

Any specific areas of dispute with the terms and conditions below must be identified in the Bidder's response and may, at the sole discretion of SCERS, be grounds for disqualification from further consideration in award of a contract.

SCERS may, for informational purposes, request the Bidder submit its licensing and maintenance agreement with the Bidder's response. However, this should not be construed as SCERS' willingness to sign a licensing or maintenance agreement supplied by the Bidder. If the Bidder requires SCERS to agree to its licensing and maintenance agreement, the Bidder is required to supply this as a requested exception to the contract and it will be considered in the same manner as other exceptions.

SCERS may consider and may choose to accept some, none, or all contract modifications that the Bidder has submitted with the Bidder's proposal.

Nothing herein prohibits SCERS, at its sole option, from introducing or modifying contract terms and conditions and negotiating with the highest ranked apparent successful Bidder to align the proposal to SCERS' needs. SCERS has significant and critical time frames for this initiative; therefore, should such negotiations with the highest ranked, apparent successful Bidder fail to reach agreement in a timely manner as deemed by SCERS, SCERS, at its sole discretion, retains the option to terminate negotiations and continue to the next-highest ranked proposal.

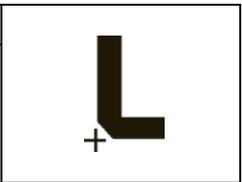
7.1 Terms and Conditions

As noted in the previous section, the final contract will be negotiated after approval from the SCERS Retirement Board.

The following are terms and conditions that will become, in whole or in part of the final contract.

7.1.1 Fixed Price

The pricing structure for the contract for the Bidder's solution will be set up as part of a fixed-price agreement.



7.1.2 Escrow

Although SCERS does not have any intention of developing the Bidder's solution on its own, the contract will require that the complete source code and associated technical documentation (including programming/code comments) be put in escrow, to be exercised if the Bidder becomes unable to provide its goods and services to the client and to the market at large. Each subsequent version of the source code will be placed in escrow in order to preserve a full and complete version history in escrow.

7.1.3 Price Increases

The successful Bidder will be entitled to raise its hourly rates for post-implementation support and enhancements for personnel by the local CPI but in no event by more than 3% per year. The current bid is fixed price.

7.1.4 Advance Payments

No request for early payment, down payment, or partial payment will be honored except for products or services already received. Milestone payments are not considered partial payments or progress payments; however, as part of the evaluation process, milestones may be rejected or negotiated with SCERS if they do not appear to represent completion of deliverables. Maintenance subscriptions may be paid in advance provided that, should SCERS terminate early, the amount paid shall be reimbursed to SCERS on a prorated basis; all other expenses are payable net 30 days after receipt of a proper invoice and acceptance of satisfactory compliance.

7.1.5 Performance Holdbacks

The selected Bidder will be allowed to put forth a milestone payment schedule based on its rate chart. However, the contract will specify a performance holdback of 10% of each milestone payment, to be released upon successful go-live of the system and approval/sign-off from SCERS.

7.1.6 Prime Contractor

Proposals that includes multiple Bidders must clearly identify one Bidder as the prime contractor and all others as subcontractors.

7.1.7 Data Security / Data Handling

SCERS will not allow data containing member information, in particular that containing Personally Identifiable Information (PII), to be used outside of the United States. All data is the property of SCERS, and any use or access by the selected Bidder during the implementation must be guaranteed to be encrypted in transit and at rest. SCERS data may only be accessed by Bidder personnel who have been subjected to criminal background checks. All Bidder personnel who have access to SCERS data must be identified in advance and their names, purpose in accessing the data, and the results of their background checks, communicated to SCERS in writing. SCERS data will remain at the County Data Center unless SCERS and the Bidder agree in writing to house the data at the Bidder's proposed data center. The Bidder's

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	

data center must meet a commercially reasonable security certification and/or standard. The bidder must carry a cyber security policy that will allowed SCERS as a named insured. The limits of that policy will be negotiated with the successful bidder.

7.1.8 Most Favorable Terms

Successful Bidder guarantees that SCERS will receive the most favorable terms for the overall agreement relative to the Successful Bidder's three most recent bids for systems of a relatively similar size and requirements.

7.1.9 Taxes

SCERS is exempt from federal, state and local income taxes. SCERS will not be responsible for any taxes levied on the Bidder as a result of any contract resulting from this RFP.

7.1.10 Insurance Requirements

Insurance requirements presented in the contract shall prevail. If formal proof of insurance is required to be submitted to SCERS before execution of the contract, SCERS will remind the apparent successful Bidder in the Intent to Award letter. The apparent successful Bidder must promptly provide such proof of insurance to SCERS in reply to the Intent to Award letter. Contracts will not be executed until all required proof of insurance has been received and approved by SCERS.

Any exceptions that Bidders may have to insurance requirements must be submitted prior to the deadline for questions. Insurance requirements will not be considered for negotiations.

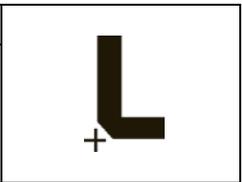
Bidders are encouraged to immediately contact their broker to begin preparation of the required insurance documents, in the event that the Bidder is selected as a finalist. Bidders may elect to provide the requested insurance documents within their proposal.

The Bidder selected for award shall procure and maintain, during the entire period of performance, the types of insurance specified below. The Bidder shall have its insurance broker or insurance company submit a Certificate of Insurance to SCERS listing, as applicable, SCERS as certificate holder and additional insured and giving evidence of the required coverage prior to commencing performance under this contract. All insurance shall be written with financially responsible companies authorized to do business in California or in the jurisdiction where the work is to be performed and have an A.M. Best Company rating of A or A- and a FSC of VIII, or higher. The Bidder shall ensure that all policies provide that SCERS shall be given thirty (30) days prior written notice in the event the stated limit in the declarations page of the policy is reduced via endorsement or the policy is canceled prior to the expiration date shown on the certificate. The Bidder shall provide SCERS with ten (10) days prior written notice in the event of non-payment of premium.

1. **Commercial General Liability Insurance.** The Bidder shall provide evidence satisfactory to SCERS with respect to the services performed that it carries \$5,000,000 per occurrence limits; \$10,000,000 aggregate; Bodily Injury and Property Damage including, but not limited to: premises-operations; broad form property damage; Products and Completed Operations; Personal and Advertising Injury; contractual liability and independent Offerors. The policy



RFP for Pension Administration System



coverage shall include SCERS as an additional insured, shall be primary and non-contributory with any other insurance maintained by SCERS, and shall contain a waiver of subrogation. The Bidder shall maintain Completed Operations coverage for five (5) years following final acceptance of the work performed under this contract.

2. Workers' Compensation Insurance. The Bidder shall provide Workers' Compensation insurance in accordance with the statutory mandates of the state of California or the jurisdiction in which the contract is performed.

3. Errors and Omissions Insurance. The Bidder shall provide evidence satisfactory to SCERS with respect to the services performed that it carries \$5,000,000 per occurrence limits; \$10,000,000 aggregate; Data Breach/Loss and Cyber / IT Security coverage including but not limited to: software installations, network, mistakes and oversights that creates financial harm to SCERS. The policy coverage shall include SCERS as an additional insured, shall be primary and non-contributory with any other insurance maintained by SCERS, and shall contain a waiver of subrogation. The Bidder shall maintain E&O coverage at this level for five (5) years following final acceptance of the work performed under this contract.

4. Minimum Liability Auto Insurance Requirements. The Bidder shall provide evidence satisfactory to SCERS with respect to the services performed that it carries Bodily Injury Liability Coverage: \$15,000 per person / \$30,000 per accident minimum. Property Damage Liability Coverage: \$5,000 minimum. The Bidder shall carry all required insurance from the date that a contract is awarded until all contract work is accepted by SCERS. The Bidder is solely responsible for any loss or damage to their personal property, including but not limited to tools and equipment, rented machinery, or owned and leased equipment. A waiver of subrogation shall apply in favor of SCERS.

The Bidder shall immediately, or as soon as practicable thereafter, provide SCERS with written notice in the event that its insurance coverage has or will be substantially changed, canceled or not renewed, and provide an updated certificate of insurance to SCERS.

The Bidder shall submit certificates of insurance giving evidence of the required coverage as specified in this section prior to commencing work. Evidence of insurance shall be submitted to:

Kathy Regalia
Chief Operations Officer
980 9th Street, Suite 1900
Sacramento, CA 95814

The Bidder agrees that SCERS may disclose the name and contact information of its insurers to any third party which presents a claim against SCERS for any damages or claims resulting from or arising out of work performed by the Bidder, its agents, employees, servants or sub Bidders in the performance of this contract.

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	

7.1.11 Effective Dates of Offer

Bidders shall state in their cover letter that the Proposal will be valid for up to one (1) year from SCERS' receipt of the proposals. Should any Bidder object to this condition, the Bidder must provide objection through a question or complaint to SCERS prior to the proposal due date.

7.1.12 Cost of Preparing Proposal

SCERS will not be liable for any costs incurred by the Bidder in the preparation and presentation of proposals submitted in response to this RFP including, but not limited to, costs incurred in connection with the Bidder's participation in demonstrations and the pre-proposal conference.

7.1.13 Readability

Bidders are advised that SCERS' ability to evaluate proposals is dependent in part on the Bidder's ability and willingness to submit proposals which are well ordered, detailed, comprehensive, and readable. Clarity of language and adequate, accessible documentation is essential. Bidders should maintain the sequence of sections as they are depicted in the RFP.

7.1.14 Bidder Responsibility

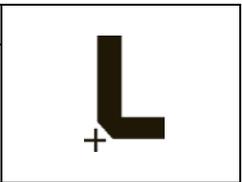
It is the Bidder's responsibility to examine all specifications and conditions thoroughly and comply fully with specifications and all attached terms and conditions. Bidders must comply with all federal, state, and City laws, ordinances, and rules.

7.1.15 Changes in Proposals

If it becomes necessary to revise any part of this RFP, or if a more exact interpretation of provisions of this RFP are required prior to the due date for proposals, a supplement will be emailed to all participating Bidders. If such addenda issuance is necessary, SCERS reserves the right to extend the due date of proposals to accommodate such interpretations or additional data requirements.

7.1.16 Bidder Responsibility to Provide Full Response

It is the Bidder's responsibility to provide a full and complete written response which does not require interpretation or clarification by SCERS. The Bidder is to provide all requested materials, forms, and information. The Bidder is responsible to ensure the materials submitted will properly and accurately reflect the Bidder specifications and offering. During scoring and evaluation (prior to any interviews), SCERS will rely upon the submitted materials and shall not accept materials from the Bidder after the RFP deadline; however, this does not limit the right of SCERS to consider additional information (such as references that are not provided by the Bidder but are known to SCERS, or past experience by SCERS in assessing responsibility), or to seek clarifications as needed by SCERS.



7.1.17 Errors in Proposals

Bidders are responsible for errors and omissions in their proposals. No such error or omission shall diminish the Bidder's obligations to SCERS.

7.1.18 Withdrawal of Proposal

The Bidder or an authorized representative may withdraw proposals by written notice received at any time before award. The withdrawal is effective upon receipt of notice by SCERS. Bidders may submit modifications to proposals at any time before the solicitation closing date and time, and may submit modifications in response to an amendment, or to correct a mistake at any time before award.

7.1.19 Rejection of Proposals, Right to Cancel

SCERS reserves the right to reject any or all proposals at any time with no penalty. SCERS also has the right to waive immaterial defects and minor irregularities in any proposal. SCERS reserves the right to cancel this RFP at any time, for any reason. Issuing this RFP does not obligate SCERS to enter into a contract with any Bidder.

7.1.20 Incorporation of RFP and Proposal in Contract

This RFP and the Bidder's response, including all promises, warranties, commitments, and representations made in the successful proposal, shall be binding and incorporated by reference in SCERS' contract with the Bidder.

7.1.21 Non-Endorsement and Publicity

In selecting a Bidder to supply to SCERS, SCERS is not endorsing the Bidder's products and services or suggesting that they are the best or only solution to SCERS' needs. The Bidder agrees to make no references to SCERS or the department making the purchase in any literature, promotional materials, brochures, news releases, sales presentation, or the like, regardless of method of distribution, without prior review and express written consent of the SCERS' CEO.

SCERS may use Bidder's name and logo in promotion of the contract and other publicity matters relating to the contract, without royalty. Any such use of Bidder's logo shall inure to the benefit of Bidder.

7.1.22 Indemnification During the RFP Process

By submitting a proposal, Bidders acknowledge and agree to fully indemnify, hold harmless and defend SCERS, it's Board, officers, participants, employees, agents and representatives against and in respect of any and all claims, demands, damages, suits, actions, costs, charges, losses, liabilities, expenses, and deficiencies, (including without limitation legal fees and expenses), whether or not involving a third party claim, resulting from, arising out of, or in any way related to (a) any untrue warranty or representation or material omission of the Bidders contained in their proposal; (b) any breach of any warranty or representation of the Bidders contained in their proposal; (c) any breach of any covenant or other obligation or duty of Bidders under this RFP

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	

or under applicable law; and, (d) any liens, claims, encumbrances, or infringement of any patent, trademark, copyrights, or other proprietary or intellectual property right in each case whether or not caused by the negligence of SCERS or any other Indemnified Party and whether or not the relevant claim has merit.

7.1.23 Sole Property

All deliverables, reports, and documents produced in the performance of a contract awarded as a result of this RFP shall be the sole property of SCERS. Bidders shall make no distribution of work specifically produced for SCERS to others without the express written consent of SCERS. Bidders agree not to assert any rights at common law or in equity or establish any claim to statutory copyright in such reports.

7.1.24 Proprietary Information

Pages of a proposal containing confidential or proprietary information shall contain a header and footer with an appropriate restrictive legend.

If the Bidder includes in the proposal information that it does not want disclosed for any reason, or used by SCERS for any reason other than for evaluation purposes, the Bidder will:

1. Mark the title page with the following:

“This proposal includes information that shall not be disclosed outside of SCERS and shall not be duplicated, used, or disclosed in whole or in part for any purpose other than to evaluate this proposal. If a contract is awarded to the Bidder as a result of, or in connection with, the submission of this information, SCERS shall have the right to duplicate, use, or disclose the information to the extent provided in the resulting contract. This restriction does not limit SCERS’ right to use the information if it is obtained from another source without restriction.”

2. Mark each sheet with information it wishes to restrict with the following:

“Use or disclosure of information contained on this sheet is subject to the restriction on the title page of this proposal”.

7.1.25 Independent Contractor

The Bidder shall at all times be acting in the capacity of an independent contractor. A successful bid is not intended, and shall not be construed, to create the relationship of servant, employee, partnership, joint venture, or association as between SCERS and the Bidder. The Bidder shall not have any claim against SCERS for retirement benefits, Social Security, disability, Worker’s Compensation or unemployment insurance benefits, civil service protection, or employee benefits of any kind. For all purposes, including but not limited to Workers’ Compensation liability, the Bidder understands and agrees that all persons furnishing services are deemed employees or agents solely of the Bidder and not of SCERS.

8 Functional Specifications

SCERS has completed a thorough needs assessment and analysis of the system requirements necessary to support its operations. This work has resulted in the functional specifications found in [Appendix Attachment 3](#). Each major business process at SCERS is defined by a list of detailed requirements pertaining to each. Bidders should understand that while this list of requirements is extensive, it does not contain the full and complete description of SCERS' functional specifications. The winning Bidder will work with SCERS subject matter experts to expand these specifications into fully developed use cases on which the system function and configuration will be based.

Each functional and technical requirement has been assigned a priority level. The following section describes SCERS' priority definition.

8.1 Priority Definitions

- **Priority 1 Critical**

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

The solution must meet the requirement and SCERS' business process as written; the vendor may not propose a means of meeting the requirement that is significantly different than the requirement as written.
- **Priority 2 Required**

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

The solution must meet the requirement, but SCERS will adjust its own business process to follow the design of the solution.
- **Priority 3 Important**

SCERS would like this requirement fulfilled but recognizes that it may or may not be fulfilled without some additional work from the software Bidder. Therefore, SCERS would like further information regarding costs from the software Bidder prior to committing to it, if the functionality would require additional cost to implement. Priority 3 requirements are to be priced separately. If the vendors do not specifically list out Priority 3 requirements as additional cost, SCERS will assume the requirements are included in the price of the fixed bid at no additional cost.
- **Priority 4 Nice to Have**

These items are desired features, if available without customization. Priority 4 requirements are to be priced separately in the event SCERS elects to purchase the functionality.



8.2 Pricing and Priority Designation

The Bidder is required to include in their fixed-price bid all functionality identified as Priority 1 and Priority 2 which are deemed critical to SCERS. SCERS understands that an optimal balance must be found between configuration of a base product, and customization to meet requirements specific to SCERS. It is therefore important to discern where this balance lies for each of the solutions that it takes under consideration. For answers that require detailed explanation, the responder must include the requirement reference ID. The respondents are encouraged to explain in detail, how their system's flexibility will accommodate change.

8.3 Functional Requirements

Each functional requirement in [Appendix Attachment 3](#) is identified by a number. There is nothing to be implied from the process identification numbers other than simple identification. The individual requirements are numbered as an extension to the process number. Please do not alter the process id numbers.

9 Technical Specifications

The Technical Specifications are described in detail in the Technical Requirements document found in [Appendix Attachment 5](#). The second component is a Bidder's Questionnaire found in [Appendix Attachment 6](#). Bidders must complete and return the questionnaire as a part of their response.

10 User Experience

As part of the Bidder's response, SCERS would like to view a short video capture session (in any standard readable format such as Flash, WebEx, etc.) that provides an overview of the proposed system. The objective of this video capture session is to experience the general "look and feel" of the system, get a sense of the basic navigation and see how a few of the screens operate from the user's point of view. The video capture session should be from 5 to 10 minutes in length with a narrative that can be either oral or written. The purpose of the narration is to help make clear what is being shown in the video capture.

The following scenario describes the inspection of a few member data screens and a "what-if" benefit estimate for a couple of members. The steps are as follows:

- A. Search for a member by name, assuming the spelling is not exactly known
- B. View the initial screen that appears for the member
- C. Open a view of the member's employment history
- D. Open a view of the member's service history or service summary
- E. Open a view to see if the member has any open service purchase contracts
- F. Open a view of the member's last contribution in the system
- G. Open a benefit estimate wizard or screen



- H. Open a help screen explaining the benefit estimate functionality
- I. Attempt to enter a retirement date before the first eligible date to retire
- J. Enter the member's first eligible date to retire
- K. Change the salary to project a 10% salary increase from today
- L. Change the service to reflect a purchase of service of 5 years
- M. Produce an estimate for multiple retirement options
- N. Save the estimate to the system
- O. Print the estimate for the member
- P. Change the date of retirement to 2 years later
- Q. Produce, save and print a 2nd estimate using the new retirement date
- R. Scan a member document, index it, have it appear on a member's record in the PAS, open the document and annotate it, and then store the annotated document to the repository.
- S. Access the online User Guide or Help while in the application
- T. Complete a Plan and Tier Change Adjustment to change the member's Plan and/or Tier and recalculate the contribution/refund amount.

11 Implementation

11.1 Scope, Constraints, Guidelines of the Bidder's Responsibility

The implementation timeline is expected to be 42 - 48 months from kick-off to go-live. This timeframe is based on SCERS' consultant's experience with implementing a system of this scope, with this level of data cleanup and conversion, and with the potential client staff to be assigned to the project. However, if a Bidder believes that the duration of this project should either be shorter or longer, the Bidder is welcome to suggest an alternate timeframe, but must identify the reasons for the difference in project duration. Additionally, if the Bidder's project duration is shorter or longer, we ask that any price differential from the estimated 42-48 months is also summarized, although a detailed, itemized price differential breakdown is not necessary.

SCERS' core team includes several staff SMEs. Staff at SCERS will prioritize this project to meet the reasonable needs of the software Bidder. However, there will be no SCERS staff resources who will be 100% dedicated to this project. It is SCERS' intent to engage a third-party implementation specialist to augment SCERS resources, and provide PAS implementation expertise.

The general approach to implementation is expected to be "big-bang.". The Bidder can employ their own hybrid of classical Waterfall methods and/or Agile methods, although Agile is strongly preferred.

To ensure common vocabulary, Bidder should explicitly define vocabulary used in their project lifecycle, as the usage of words like release, testing, build, dry run, requirements, and configuration are often unique to a Bidder's practice.

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	

SCERS will accept only complete and tested deliveries, to include all database schema, converted data, applications, documents, release notes, user documents, etc. that are germane to the delivery. Bidder will test deliveries with sanitized converted SCERS data prior to delivering to SCERS. SCERS is expecting the Bidder to assign a team that has significant experience working with the software Bidder. The team assigned will be required to come to any Bidder demonstrations and will be interviewed by SCERS staff. The Bidders should only present staff that are available to work on the project for an extended period of time. SCERS reserves the right to designate certain members of the Bidder's team as 'key personnel' who cannot be removed from the project without a substantial financial penalty.

SCERS may be subject to an audit of the security model that is configured for the system. The Bidder should include the requirements gathering, configuration, and documentation of a security model that fulfills SCERS' needs as part of the scope of the project.

SCERS expects the Bidder to assist in the installation and initial setup of the hardware, commodity software, and database software.

SCERS expects the proposed cost of the project to include project management and implementation services from the Bidder.

SCERS expects the proposed cost of the project to include any applicable licensing fees and the cost structure (i.e. by module, user count, etc.).

SCERS expects the proposed cost to include the total cost of all configuration and any required customization costs (if applicable).

SCERS expects the proposed cost to include testing that will be performed by the Bidder; however, user acceptance testing will be performed by staff at SCERS.

SCERS expects that the Bidder will provide training for key staff on the system.

SCERS also expects that the Bidder will also provide guidance to the IT staff members on the initial setup of the overall system, including the hardware, software, database, and the integration with the financial reporting system (FRS) and other subsidiary systems during the initial installation and configuration.

SCERS expects the Bidder to include documentation for the system requirement specifications and the system configuration as part of the scope of this project.

Unless strongly discouraged by the Bidder, SCERS expects to purchase and have set up (by the Bidder) at least one non-production environment (Development or Test), which should be accounted for in the cost proposal and the plan.

SCERS requests all Bidders to complete and submit [Appendix Attachment 9](#): Implementation & Staffing.

11.2 Response Requirements

11.2.1 Implementation Scope

SCERS requires that the implementation delivers the following:

- A stable, robust, and mature software solution, either installed on premises or as a hosted solution
- Thoroughly trained staff
- Thoroughly prepared IT support team
- Quality system documentation and support materials

11.2.2 Implementation Plan

SCERS requires the winning Bidder to have an implementation plan that best ensures the delivery of the following:

- a stable, robust, and mature software product integrated with other business systems
- a clean and complete data conversion
- a thoroughly trained staff
- a thoroughly prepared IT support team

The purpose of the implementation plan is to sequence tasks to achieve these four deliverables within an acceptable timeframe, keeping cost and resource availability in mind. The best implementation plans balance risk and efficiency, cost and quality.

For this portion of the response, the Bidder should present five (5) documents, or five (5) sections to the response:

1. Implementation scope
2. Implementation plan
3. Staffing plan
4. Testing plan
5. Training plan

The following areas must be discussed within the five (5) documents/sections listed above:

Item	Question to answer
Scope	What is the scope of the implementation? What is considered out of scope for the Bidder but still necessary for the project? What are the project assumptions?



RFP for Pension Administration System



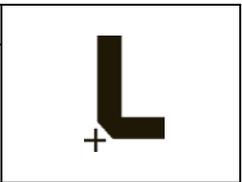
Item	Question to answer
<p>Project Duration, Effort, and Phasing</p>	<p>How long will the overall project take? What are the main project phases? How long will each phase take? What are the major activities/ tasks in the project? What are the hour estimates for each phase? What are the start and finish dates for each phase of the project? What assumptions does the Bidder need to make to deliver in 42-48 months or less? Will there be software releases during the implementation and will we be required to include the releases? Provide a description of how these are planned for and included.</p>
<p>Deliverables and Milestones</p>	<p>What are the milestones in the project? What are the project deliverables listed by milestone? Please include a detailed enough description to give SCERS a good expectation of content and include completion criteria.</p>
<p>Approach and Methodology</p>	<p>Describe the project approach and implementation methodology (i.e. Agile, hybrid, waterfall) and why you believe this is the best approach for SCERS. Describe the proposed implementation plan for the PAS and ECM. What are your thoughts on implementing the ECM component into production before the PAS? How soon could SCERS reasonably expect to go live with ECM? What formal methods and disciplines will be employed to effect high-quality releases of functionality? Describe the Bidder's experience integrating the proposed ECM solution with the proposed Pension Administration System. Please list all projects where the Bidder has implemented the proposed ECM solution with the proposed PAS solution. Include client name, contact name, email, phone, project dates and a brief description of the scope of work. <i>Note: if these references are the same as the PAS references, indicate as such.</i></p>
<p>Staffing</p>	<p>What resources are needed for each phase of the project? Which activities from the Bidder require on-site resources? Will there be subcontractors utilized, and if so, what will be their role? Who is assigned to the project? Provide a table that indicates role, hours per week, etc. How long have they been employed with the Bidder?</p>



RFP for Pension Administration System



Item	Question to answer
	<p>What is their experience? What are their qualifications? Who is leading the project? Describe the process for replacing assigned Bidder staff, e.g., if a customer asks for a replacement, the assigned staff changes jobs, etc.</p>
Testing	<p>Describe the Bidder's practice related to providing proof of readiness for testing. What certification does the Bidder provide for each release? How are the test results documented and delivered to SCERS? Based on the requirements of the RFP what formal methods and disciplines will be employed for testing each build (unit, regression, system, QA, performance, stress, etc.)? How is converted data tested? When does this occur? SCERS mandates that the Bidder test utilizing a representative data set, not a selective set of 'clean' data. How will the Bidder comply with this requirement? When will the Bidder test on the full data set for processes such as payroll, COLA, interest, annual statements, etc. (i.e., full population batch processes)? What does the Bidder consider to be a reasonable defect rate for the delivered builds? How does the Bidder manage version control and build releases? How are these documented?</p>
Training	<p>Attach a proposal for training to the SCERS on all applications. Identify any associated costs. Assume that key staff end user training will be on-site. What types of training are offered? Include a description of the training approach including the assumptions for number of key staff end users (train-the-trainer versus direct end user staff) and provide details of additional optional training available such as direct end user training, optional additional days of training and/or additional key staff end users. How is training coordinated with incremental deliveries? What user documentation will be provided? To what extent is the training and user manual customized to the solution provided to SCERS? Has the Bidder utilized online training instead of paper-based? Please explain how this was accomplished. How will technical staff be trained?</p>
Change Requests	<p>What is the process for SCERS to request increased functionality? How are future enhancements and modifications handled?</p>



Item	Question to answer
	What is the estimated additional effort, duration, and project impact if SCERS wanted to add a newly merged plan and or collective bargaining agreement with processing exceptions prior to going into production?
Documentation	What documentation will be provided during the course of the project? How will the Bidder ensure SCERS' requirements are properly documented? How will the Bidder ensure that training and user documentation is continually updated as the product evolves in the future?
Transition to Client Support	What is the division of support responsibilities between the Bidder and SCERS in the production environment? Bidders proposing both on-site and hosted options should be clear on how this differs with each proposal. How will the Bidder ensure that SCERS' IT resources understand how to maintain the system in production? How has the Bidder managed this transition successfully in the past? How can SCERS contribute to the Bidder so that this transition will be successful?
Risk and Issue Management	What risks do you see to the PAS implementation being proposed to SCERS? How has the Bidder mitigated them in the past? Please give one example of a successful implementation: what made the project work well? Please give an example of an implementation that did not go as planned. What happened? What were the lessons learned?

The Bidder should be advised that SCERS will review the implementation plans for specificity, quality, and perceived risk/efficiency balance. The brevity of the response is intended to encourage the Bidder to present the essentials of their process and to avoid generic project methodology language.

11.2.3 Data Conversion Plan

Prior to the implementation, or partially in parallel with its commencement, SCERS will be working with a third-party Data Conversion vendor to assess and transform their existing legacy data. The selected PAS Bidder will work with the SCERS staff and the third-party Data Conversion vendor to map the existing legacy data from the Transition Staging database to the new PAS target database.

11.2.4 Staffing Plan

Using [Appendix Attachment 9](#) section "Proposed staff for Bidder and SCERS" provide a staffing plan of a maximum of eight pages. All Bidder resources assigned to the project must be

identified and details presented regarding their qualifications, experience, and tenure with the company.

Based on past experience with projects of this size and scope, please describe the level of staffing support required of SCERS during the project phases outlined in your project methodology, including but not limited to the following project phases:

- Project planning and initiation
- Development of the detailed design document
- Project implementation
- Warranty
- Post-warranty

Please be specific in describing the number of positions required, roles, responsibilities, and prerequisite skills of all SCERS staff members by project phase.

11.2.5 Testing Plan

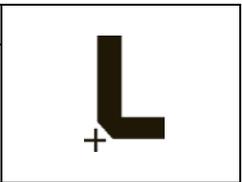
SCERS requires that the Bidder utilize a rigorous testing methodology throughout the course of the project. Each module that is delivered to SCERS must have been tested on converted data prior to being certified for release by the Bidder's test team. SCERS may at its discretion request written proof of certification for any release.

SCERS expects the following types of testing to be performed during the project:

- Unit
- System
- Stress (volume)
- Load
- Regression
- User Acceptance Testing

For software that is delivered for acceptance testing, SCERS will require a soft copy summary of the testing performed along with the certification. The summary should list all the tests performed, along with the results and any errors discovered.

The acceptance testing process is critical for the success of the project. The SCERS project team will determine the time and effort required for acceptance testing, not the Bidder. Should issues arise, SCERS may extend the acceptance testing period at its own discretion. No change orders will be granted based on delays during this period; in a word, SCERS will not be "rushed" through the acceptance testing process. Staff limitations may impact the testing process, as well as other external factors.



A parallel testing phase will be required for the project. The Bidder must include a three-month parallel test in the implementation plan that encompasses, at minimum, a plan to test employer and retiree payroll.

11.2.6 Training Plan

The Bidder will train SCERS staff at four different levels:

- Regular users
- Power users
- Business Administrator
- Technical Administrator

Training must be done on-site at SCERS, and the Bidder must conduct the training for all users.

The regular training materials the Bidder provides must be editable and organized by SCERS' business processes, such that staff can use the manuals for their everyday work. For example, rather than describing each screen of participant information, the manual should describe the step-by-step process for setting up a new payee in the system. It is strongly desired for Bidders to provide their training materials in an on-line format, via web-based videos or another similar system. The system must also provide on-line help for all screens and fields.

The business administrator's materials must contain at a minimum all the information required for a business or systems analyst to maintain the configuration of the system, including instructions on how to perform common processes. Below are examples of some of the processes to be included:

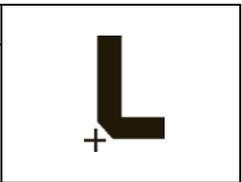
- Create new update existing benefit plans
- Update contribution rates
- Update interest rates
- Update tax tables for Federal and State
- Update actuarial assumptions

The technical administrator's materials must contain a full database schema, including all field formats, definitions, and other industry standard information. Additionally, the manual must contain all recommended system maintenance schedules and procedures for them. The purpose of this manual is to allow a systems administrator and/or database administrator to properly maintain the system from a technical standpoint.

SCERS also expects that the Bidder will provide guidance to IT staff on the initial setup of the overall system, including the hardware, software, database, and the financial software integration for all implementation phases of installation and configuration.

12 Maintenance and Support

The Bidder must complete and return the Maintenance & Support Questionnaire found in [Appendix Attachment 7](#).



13 Organization & References

Using the form provided in Appendix Attachment 6, please list references for similar projects over the last five (5) years in reverse chronological order (most recent first). For the modules and versions, please be sure to specify which projects involved the SAME version that is being proposed to SCERS. Please list a maximum of three (3) references. At least two (2) of these references must be from North American pension clients.

14 Assumptions and Exceptions

While consequential for the evaluation process, SCERS understands that Bidders cannot always fulfill all requirements. SCERS understands that Bidders' responses also make certain assumptions that are important for the overall RFP response in determining the final fixed price cost. Bidders have the opportunity to explain what assumptions are being used for the proposal, and to which sections of the RFP Bidders take exception to the requirements.

14.1 Assumptions

Using the form provided in Appendix Attachment 8, please specify the assumptions made for the overall response. Where applicable, please reference the section, page, and the specific item or requirement ID that the assumption references. The assumption should be written in sufficient detail to explain why it is necessary to detail the assumption, and the significance of the assumption.

The assumptions should be numbered and grouped by RFP section and should be listed in sequential order of the sections to which they reference. The Bidder's response materials must reference the assumption number.

14.2 Exceptions

Exceptions should be listed below the assumptions, again numbered and categorized by section, and referencing the section, page and specific item to which exception is taken. The exception should state clearly the reason the Bidder takes exception to the item in the RFP, and if there is a proposed solution or alternative, it should be stated there with any cost impacts.

15 Evaluation Criteria

15.1 Solution Cost

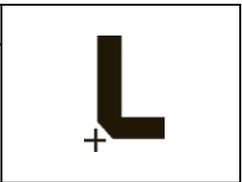
Cost proposals submitted must use the worksheet provided in [Appendix Attachment 11](#). Cost proposals must be fixed price and include all costs for the total PAS solution as described in this RFP, including but not limited to the following items:

- all software comprising the solution



Sacramento County Employees' Retirement System

RFP for Pension Administration System



- hardware and other equipment comprising the solution (note: SCERS may choose to procure hardware through their own procurement channels rather than from the PAS solution Bidder)
- implementation costs, including configuration and/or customization services
- Bidder's own project management directly supporting the project
- subcontracted services, if any
- maintenance and support fees that would be required for the outlined duration
- travel and expenses, as applicable

SCERS may reject proposals solely on the basis of the proposed costs.

15.2 Proposal Review

Once SCERS has validated the cost of the Bidder's overall solution, SCERS will evaluate the Bidder's proposal according to the criterion below. These are generally evenly weighted with a greater emphasis on requirements and less on the cost.

Criterion	Criterion Description
Requirements	Ability of solution to meet SCERS' functional requirements, business requirements, and business rules (where applicable). Ability of user experience to match SCERS' needs. Ability to have considerable flexibility in plan provision maintenance.
Technical Fit	Overall technical fit to SCERS, including robustness, scalability, flexibility, ease of customization and configuration, use of industry-wide technology. Ability to integrate with other systems well, where necessary.
Maintenance & Support	Thoroughness of support program, reputation of company with customers for responsiveness, thoroughness of testing, availability of support resources, and overall cost of future support and upgrades.
Implementation Management	Comprehensiveness of project plan, quality of approach, thoroughness of testing phases, and experience of references in working with project team.
References and Experience	Quality of overall solution, experience with implementation, experience with other defined benefit plans, experience with other defined contribution plans, degree to which projects went over budget/schedule, customization design and cost, experience with Help Desk / support staff, personnel qualifications, and proposal firm's qualifications.
Company Position in Industry	Company stability, availability of resources, likelihood of company / product line survival, degree of product usage in industry.

Criterion	Criterion Description
Cost	Relationship of quality of solutions to price, configuration and customization costs, and completeness of pricing for overall project.

16 Submission Requirements

To be considered, all submission materials must be received electronically at SCERS by 11:59 pm PDT on May 10th, 2017.

- **One (1) electronic copy of each document described in the Submission Format** that comprises the overall response, in native format. This means that there may be multiple files.
- **One (1) electronic copy of the compiled response** in an Adobe Acrobat PDF (version 10.0 or lower). The Bidder should put all of the documents in the order that they should appear and be printed into one (1) PDF file.

Following the electronic submission, six (6) printed copies of the compiled response must be sent to SCERS bound or in a binder. These printed materials must arrive at SCERS by 5:00 pm PDT on May 10th, 2017.

The electronic copies must be copied onto CD-ROM or DVD media.

All submissions become the property of SCERS and will not be returned to Bidders.

All proposals shall be valid until SCERS completes the award, or for up to one (1) year from receipt of the proposal, and no more than one proposal per Bidder is allowed.

All submissions must be delivered prior to the deadline specified in the selection timeline. Please send one emailed electronic submission to SCERS at SCERS-IT@saccounty.net and six (6) hard copy submissions to:

Kathy Regalia
 Chief Operations Officer
 980 9th Street, Suite 1900
 Sacramento, CA 95814

16.1 Summary of Response Requirements

Item	Description	Format	Page Length Max	Due Date
Attachment 1	Minimum qualifications and intent to Bid	Email	1 Page	March 3 rd , 2017
Vendor Questions	Questions submitted about bid	Email	N/A	March 17 th , 2017



RFP for Pension Administration System



Attachment 2	Executive Summary and Table of Contents	MS Word	10 pages	RFP submission date
Attachment 4	Functional Requirements Response	MS Word	N/A	RFP submission date
Attachment 6	Technical Requirements Questionnaire	Attachment	16 Pages	RFP submission date
Attachment 7	Maintenance & Support Questionnaire	Attachment	3-4 Pages	RFP submission date
Attachment 8	Organization & References	Attachment	15 Pages	RFP submission date
Attachment 9	Implementation and Staffing	Attachment	40 Pages	RFP submission date
Attachment 10	Assumption and Exceptions made on response	Attachment	N/A	RFP submission date
Attachment 11	Cost Proposal Worksheet	Attachment	N/A	RFP submission date
Attachment 13	Confidentiality Agreement	Attachment	N/A	RFP submission date



Sacramento County Employees' Retirement System

RFP for Pension Administration System



Attachment 1: Statement of Minimum Qualifications & Intent to Bid Pension Administration Solution

Completion and submission of this document confirms the Bidder's qualification and intent to bid on SCERS' RPF 2017-01. The Bidder certifies:

- 1. Bidder must maintain operations in the continental United States...
2. The bidder must have been in the pension administration system solution delivery business for the past five years.
3. The bidder must have three references of completed implementations of the equivalent pension administration software solution...
4. The bidder must have experience implementing its own ECM solution or integrating with the third-party ECM solution proposed to SCERS.

I verify that my company meets or exceeds all the minimum requirements, as I have described above, for the systems and services under this request for proposal.

Signature

Name/Title

Company Name

Attested this ___ day of ___, 2017



Attachment 3: Functional Requirements

Each major business process at SCERS is described here along with detailed requirements pertaining to each.

1 Priority Levels

The tables in the following sections reference different priority levels. The table below describes SCERS' definitions of these priorities.

Priority	Definition	Comments
Priority 1	Critical	SCERS must have this requirement; therefore, SCERS is not asking for detailed pricing that may be attributed to the item, but is requesting the vendor's all-inclusive pricing to include compliance with the requirement. The solution must meet the requirement and SCERS' business process without customization.
Priority 2	Required	SCERS must have this requirement; therefore, SCERS is not asking for detailed pricing that may be attributed to the item, but is requesting the vendor's all-inclusive pricing to include compliance with the requirement. The solution must satisfy the requirement, but SCERS is not proscribing how the solution is satisfying. SCERS will adjust its own business process to meet the solution.
Priority 3	Important	SCERS would like this requirement fulfilled but recognizes that it may or may not be fulfilled without some additional work from the software vendor. Therefore, SCERS would like further information regarding any additional costs from the software vendor prior to committing to it. The vendor must list out all priority 3 requirements that are NOT met with the 'base' solution, along with the associated pricing. All priority 3 items that are not listed out will be assumed to be included in the solution.
Priority 4	Nice to Have	These items are desired features, if available without customization.

Priority 1 and 2 Specifications

The vendor is required to include in their fixed-price bid all functionality identified as Priority 1 and Priority 2 which are deemed critical to SCERS.



Priority 3 and 4 Specifications

SCERS understands that an optimal balance must be found between configuration of a base product, and customization to meet requirements specific to SCERS. It is therefore important to discern where this balance lies for each of the solutions that it takes under consideration.

For answers that require detailed explanation, the responder must include the requirement reference ID. The respondents are encouraged to explain in detail, how their system's flexibility will accommodate change.

Process Descriptions and Requirements

The sections that follow contain detailed descriptions of each of the major business processes at SCERS. The descriptions help to provide a fuller context to the vendor, as compared to just listing requirement.

Each major process is identified by a number. There is nothing to be implied from the process identification numbers other than simple identification. The individual requirements are numbered as an extension to the process number. Please do not alter the process id numbers.

2 Functional Requirements

Req ID	Category	Sub-Category	Original Requirement	Priority
001.001	1099R Issuance	Reports, Forms & Letters	The system will provide the capability to produce the 1099R and 1042S forms to the specifications required by the IRS for all refund (one-time payment) and benefit payment recipients and allow SCERS to print the forms in-house.	2
001.002	1099R Issuance	Reports, Forms & Letters	The system will provide the capability for SCERS to adjust the format, content, and/or layout of the information to be printed on the 1099R forms to accommodate changes to the forms made by the IRS.	2
001.003	1099R Issuance	System Data	The system will provide the capability to use alphanumeric combination distribution codes.	1
001.004	1099R Issuance	Reports, Forms & Letters	The system will provide the capability to issue separate 1099Rs to a single payee receiving multiple benefit streams of the same payment type and Distribution Code. For example, a retiree receiving his/her own monthly retirement benefit and receiving a continuance monthly retirement benefit from a deceased spouse must receive separate 1099Rs for each benefit stream although both are the same payment type and Distribution Code.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



001.005	1099R Issuance	Reports, Forms & Letters	The system will provide the capability to generate separate 1099Rs for each type of payment to the same payee, even if they both have the same Distribution Code. For example, a burial allowance payment and a refund of residual unused contributions are different payment types, but both use Distribution Code 4, and thus must have different 1099Rs.	2
001.006	1099R Issuance	Reports, Forms & Letters	The system will provide the capability to issue a single 1099R for multiple payments of the same type and benefit stream to a single payee. For example, a retired member receiving a monthly retirement benefit will receive a single 1099R for all twelve of the monthly benefit payments made in a full year.	2
001.007	1099R Issuance	Workflow & Case Management	The system will provide the capability for an appropriately privileged SCERS user to change distribution codes in the system for the member's payments.	2
001.008	1099R Issuance	Reports, Forms & Letters	The system will provide the capability for SCERS to combine payments under the same distribution code on a 1099R as they see fit.	2
001.009	1099R Issuance	Batch Processing	The system will provide the capability to flag the account of payees that are pending confirmation of citizenship or resident alien status.	2
001.010	1099R Issuance	Person Data	The system will provide the capability for a SCERS user to query the system for, access, and display benefit recipient accounts of non-citizens that will be receiving 1042S forms.	1
001.011	1099R Issuance	Workflow & Case Management	The system will allow a SCERS user to remove the proof of citizenship for foreign payee pending flag from a benefit recipient's account when proof has been received.	2
001.012	1099R Issuance	Workflow & Case Management	The system will provide tools and functionality to assist SCERS with compliance related to Form 1042S issuance and tracking.	2
001.013	1099R Issuance	Workflow & Case Management	The system will issue an alert to a SCERS user when a returned proof of citizenship has been received in the benefit recipient's electronic file.	2
001.014	1099R Issuance	Benefit Calculation	The system will automatically adjust for the Simplified General Rule pertaining to benefit	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			recipient accounts subject to DRO.	
001.015	1099R Issuance	Benefit Calculation	The system will automatically adjust taxability for Service-Connected Disability with reciprocity.	1
001.016	1099R Issuance	Benefit Calculation	The system will automatically adjust taxability for Service-Connected Disability that is greater than 50% of final average salary.	1
001.017	1099R Issuance	Benefit Data	The system will be capable of tracking non-payroll payments and withholding, i.e., refunds and death benefits.	1
001.018	1099R Issuance	Benefit Data	The system will summarize federal tax withholding for each payroll, refund, and death benefit batch processed during the calendar year in question for federal tax reporting purposes.	1
001.019	1099R Issuance	Reports, Forms & Letters	The system will produce IRS forms 945 and 945A to the specifications of the IRS.	2
001.020	1099R Issuance	Reports, Forms & Letters	The system will be capable of producing data files or an electronic version of forms 945 and 945A to the specifications of the IRS for upload, if available.	2
001.021	1099R Issuance	Reports, Forms & Letters	The system will provide the capability for SCERS to modify the format or content of forms or data files generated by the system for IRS forms 945 and 945A to accommodate changing IRS requirements.	2
001.022	1099R Issuance	Benefit Data	The system will summarize state tax withholding for each payroll and each refund and death benefit batch processed during the calendar quarter in question for California DE-9 and DE-9C tax reporting purposes.	1
001.023	1099R Issuance	Reports, Forms & Letters	The system will produce quarterly state wage and tax reports and files to the specifications of the state of California, including a Summary Report and a Detail Report.	2
001.024	1099R Issuance	Reports, Forms & Letters	The system will provide the capability to produce a data file compatible with State of California electronic filing requirements for DE-9 and DE-9C.	2
001.025	1099R Issuance	Batch Processing	The system will provide the capability to exclude repayments from gross distributions and taxable amount when calculating totals for	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			1099R reconciliation.	
001.026	1099R Issuance	Batch Processing	The system will provide the capability to reconcile control totals on the IRS and State of California electronic files against the posted batch 1099R Summary Reports and identify any exceptions.	2
001.027	1099R Issuance	Batch Processing	The system will provide the capability to apply an account conversion (service retirement to disability) effective for the entire tax year, regardless of when the conversion actually occurred.	2
001.028	1099R Issuance	Batch Processing	The system will provide the capability to apply an account conversion (service retirement to disability) effective for a partial tax year, if required, and issue two 1099Rs for that year (one for the portion of the year of service retirement and one for the portion of the year converted to disability retirement) based on the effective date of the disability retirement.	2
001.029	1099R Issuance	Batch Processing	The system will generate a "trial run" of 1099Rs and associated Summary Reports prior to commitment of the batch to member/benefit recipient records and the ECM so that SCERS may review the 1099Rs and perform reconciliation prior to posting the batch.	2
001.030	1099R Issuance	Benefit Calculation	The system will be capable of properly computing and adjusting 1099R data in situations where a current quarterly period adjustment has occurred on a benefit recipient's account.	1
001.031	1099R Issuance	Benefit Data	The system will provide the capability to identify special cases to support verification of 1099R-related data. The special cases are: <ul style="list-style-type: none"> • New Retirees • Service Connected Disability • Regular retirement conversions to disability • Corrections and changes of distribution codes. 	1
001.032	1099R Issuance	Benefit Data	The system will be capable of tracking and maintaining record of refunds and deceased overpayments and death benefits made to payees and providing 1099Rs for such	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			payments.	
001.033	1099R Issuance	Benefit Data	The system will provide the capability to differentiate taxable payments from non-taxable payments and calculate the respective totals.	1
001.034	1099R Issuance	Person Data	The system will provide the capability to update member/benefit recipient information on non-finalized 1099Rs dynamically as changes are made to member/benefit recipient records in the system. For example, if a member/benefit recipient's name or address are changed or an additional distribution is made in the member/benefit recipient record, that individual member/benefit recipient's 1099R can be regenerated with revised information prior to final posting of the batch.	1
001.035	1099R Issuance	Reports, Forms & Letters	The system will generate "trial run" 1099R Summary Reports containing summary data for the pending 1099R batch for reconciliation against SCERS' general ledger. Data summarizing retiree benefit data (recurring payments) and data summarizing refunds and death benefits (one-time payments) will be reported both separately and in total.	2
001.036	1099R Issuance	Reports, Forms & Letters	The system will provide the capability to re-run "trial run" 1099R Summary Reports an indefinite number of times to reflect manual corrections made subsequent to initial reconciliation with the general ledger.	2
001.037	1099R Issuance	Reports, Forms & Letters	The system will provide the capability to view, print, and save 1099R Summary Reports for future reference.	2
001.038	1099R Issuance	Reports, Forms & Letters	The system will generate Final 1099R Summary Reports containing summary data for the posted 1099R batch for reconciliation and record maintenance purposes. Data summarizing retiree benefit data (recurring payments) and data summarizing refunds and death benefits (one-time payments) will be reported both separately and in total.	2
001.039	1099R Issuance	Reports, Forms & Letters	The system will provide the capability to reconcile annual payment totals for members/benefit recipients based on the actual payment transactions with 1099R totals	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			generated by the system.	
001.040	1099R Issuance	Reports, Forms & Letters	The system will provide the capability to utilize all standard boxes on the 1099R form but will allow boxes not used by SCERS to be left blank.	2
001.041	1099R Issuance	Reports, Forms & Letters	The system will provide the capability to produce Form 1099R and Form 1042S (Original, Corrected, Reissued, and Duplicate) documents entirely in-house, both electronically and in paper form.	2
001.042	1099R Issuance	Reports, Forms & Letters	The system will provide the capability to produce a data file compatible with 1099R printing service providers, should SCERS decide to outsource printing of Form 1099R and Form 1042S documents at any time in the future.	2
001.043	1099R Issuance	Reports, Forms & Letters	The system will provide the capability to archive Form 1099R and Form 1042S documents (Original, Corrected, Reissued, and Duplicate) produced in-house directly to an ECM and properly associate each document with a member/benefit recipient.	2
001.044	1099R Issuance	Reports, Forms & Letters	The system will provide the capability to retrieve and print Form 1099R and Form 1042S documents (Original, Corrected, Reissued, Duplicate) that have been archived to SCERS' ECM, on demand, both individually and in batch.	2
001.045	1099R Issuance	Workflow & Case Management	The system will provide the capability for an appropriately privileged SCERS user to override any value in a member/benefit recipient's account in the system to correct information supporting 1099R documents.	2
001.046	1099R Issuance	Workflow & Case Management	The system will provide the capability for an appropriately privileged SCERS user to manually correct current tax year 1099R amounts in a member/benefit recipient's account.	2
001.047	1099R Issuance	Workflow & Case Management	The system will provide the capability for an appropriately privileged SCERS user to manually correct prior tax years 1099R and issue a Corrected 1099R.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



001.048	1099R Issuance	System Data	The system will provide the capability for SCERS to change the frequency that they report state and federal taxes to a monthly, quarterly, semi-annual, or yearly basis.	2
001.049	1099R Issuance	Reports, Forms & Letters	The system will provide the capability to produce data files compatible with IRS electronic filing requirements for 1099R.	2
001.050	1099R Issuance	Reports, Forms & Letters	The system will provide the capability for SCERS to modify the format and content of the data files generated by the system for IRS electronic filing requirements for 1099R to accommodate changing IRS requirements.	2
002.001	IRC 415(b) Capping	Benefit Calculation	The system will calculate, identify and report the amount of the annual accrual that is in excess of the 415(b) limit for use in determining the amount of replacement benefit under IRC 415(m).	1
002.002	IRC 415(b) Capping	Benefit Calculation	The system will, in calculating the Replacement Benefit Plan amounts, also provide the capability to preserve the payee's annuity portion of the benefit in an amount sufficient enough to account for deductions/health care premiums.	1
002.003	IRC 415(b) Capping	Benefit Payments & Refunds	The system will provide the capability to produce a benefit payment schedule for those benefit recipients for whom specific 415(b) caps have been entered. The payment schedule should detail payment source and amount for each month of the year, with the total of SCERS payments not to exceed the individual's 415(b) cap. Any amount above the cap will indicate the source as Replacement Benefit Plan. Sum total of Replacement Benefit Plan and SCERS payments will equal the full benefit amount accrued by the benefit recipient.	2
002.004	IRC 415(b) Capping	Eligibility	The system will provide the capability to identify existing benefit recipients who are within 95% or at the IRC 415(b) limitations in any given year.	1
002.005	IRC 415(b) Capping	Reports, Forms & Letters	The system will provide the capability to indicate on the Benefit Estimate whether a benefit recipient is within 95% of the IRC 415(b) limit.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



002.006	IRC 415(b) Capping	Reports, Forms & Letters	<p>The system will provide the capability to generate a report for the Actuary for those benefit recipients within 95% or at the IRC 415(b) limitations, containing such information as listed below, along with other information that the Actuary may request. Note that some historical information may not be available.</p> <ul style="list-style-type: none"> • Member's Calculation Summary • Audit Trail of member's account • Member's already taxed service credit purchases for each semi-annual period • Member's post-tax contributions for each semi-annual period • Total Service Earned and purchased • Total Contributions by taxed and taxable, itemized as COLA and other contributions. 	1
002.007	IRC 415(b) Capping	Eligibility	<p>The system will provide the ability to screen all applicable benefit recipients against the annual 415(b) limit each year with and without age reduction. The data elements should include, at minimum, the following:</p> <ul style="list-style-type: none"> • Name • SSN • Age at Retirement • Monthly Benefit Amount • Total Years of Actual Service • Total Years of Credited Service • Years of "General member" Service • Years of Qualified Police and Fire Service (IRS) • Retirement Type [e.g. Service Retirement] • 415(b) Limit w/Age Reduction Calculated Amount Over Limit 	2
002.008	IRC 415(b) Capping	Reports, Forms & Letters	<p>The system will calculate, identify and report the amount of the benefit that is in excess of the limit (i.e. individual employer portion of the 415(b) benefit replacement plan). The information should be able to conform to the reporting format required by the current RBP administrators. The amount of the excess benefit must be "viewable" in the benefit recipient's record and accessible by staff. The calculated capped and uncapped benefit amounts must be stored and viewable by staff.</p>	2
002.009	IRC 415(b) Capping	Usability	<p>The system will provide the capability to override/reduce a benefit recipient's regularly scheduled payment amount with the amount</p>	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			determined for the last payment of the year.	
002.010	IRC 415(b) Capping	Technical	The system will automatically adjust the benefit recipient's benefit to \$0 when they reach the IRC 415(b) limit and the remainder of the benefit will be paid from the RBP administrator's 415(m) fund.	1
002.011	IRC 415(b) Capping	Benefit Payments & Refunds	The system will provide the capability to stop further scheduled payments through a specified date (December 31 by default) for each member limited by IRC 415(b).	1
002.012	IRC 415(b) Capping	Benefit Payments & Refunds	The system will provide the capability to resume regular payments automatically on specified date (January 1 by default) without further actions by SCERS staff.	1
002.013	IRC 415(b) Capping	Reports, Forms & Letters	The system will provide the capability to generate a letter to the benefit recipient's that are limited by IRC 415(b) explaining the limitation and containing instructions on what needs to be done so the RBP administrator can start the benefit recipient's payments.	2
002.014	IRC 415(b) Capping	System Data	The system will provide the capability to set, as a system parameter, a threshold percent of the IRC 415(b) limitation such that SCERS can be pro-active in identifying benefit recipients who may be limited by IRC 415(b). Currently, SCERS uses 95% of the limitation.	1
002.015	IRC 415(b) Capping	Reports, Forms & Letters	The system will provide the capability to generate a report at any time that identifies benefit recipients who may have crossed a threshold toward IRC 415(b) limitations.	2
002.016	IRC 415(b) Capping	Benefit Calculation	The system will provide the capability to aggregate the payments made as a result of the member's benefit even if the entire benefit is not paid to the member (such as if the benefit is split between the member and an ex-spouse) for the purposes of determining IRC 415(b) limits.	1
002.017	IRC 415(b) Capping	System Data	The system will provide the capability to set, as a system parameter, the current dollar value of IRC 415(b) limitation. The amount can change each year and is provided by the Actuary.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



002.018	IRC 415(b) Capping	System Data	The system will provide the capability to set the current dollar value of the IRC 415(b) limitation for each benefit recipient at 95% or at the 415(b) limit, as well as globally for all benefit recipients. The amount can change each year and is provided by the Actuary.	1
002.019	IRC 415(b) Capping	System Data	The system will provide the capability to set an effective date and an end date applicable to the current value of the IRC 415(b) limitation so that the new limitation may be input prior to becoming effective.	1
002.020	IRC 415(b) Capping	Reports, Forms & Letters	The system will provide the ability to report by calendar year any benefit recipient that has been within 95% of or exceeded the IRC 415(b) limit, regardless of whether they currently are.	2
002.021	IRC 415(b) Capping	Calculation	The system will provide the ability to calculate age-based reductions based on a year/month vs. a year/quarter calculation of the benefit recipient's age.	1
002.022	IRC 415(b) Capping	System Data	The system will provide the ability to exclude certain populations from doing an age-based calculation of the IRC 415 limit if they fall into specified categories.	1
002.023	IRC 415(b) Capping	System Data	The system will be able to specify which employee populations are subject to evaluation against the IRC 415(b) limit.	1
002.024	IRC 415(b) Capping	System Data	The system will provide the ability to exclude post-tax contributions from being utilized in the evaluation of the 415(b) limit.	2
002.025	IRC 415(b) Capping	System Data	The system will provide the capability to electronically import the age adjusted 415(b) limits provided by the actuary each year, rather than require manual input of the values.	1
003.001	Active Payroll	Batch Processing	The system will be capable of supporting multiple employer payroll reporting schedules including, but not limited to: <ul style="list-style-type: none"> • Monthly • Semi-monthly • Bi-weekly • Weekly 	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



003.002	Active Payroll	Batch Processing	The system will accommodate the existing payroll reporting schedules for each existing Plan Sponsor on various semi-monthly schedules.	2
003.003	Active Payroll	Batch Processing	The system will provide the flexibility to alter payroll reporting schedules as needed.	2
003.004	Active Payroll	Batch Processing	The system will provide capability to accommodate and process multiple payrolls on different schedules for a single Plan Sponsor. i.e., weekly, bi-weekly, semi-monthly or monthly.	2
003.005	Active Payroll	Batch Processing	The system will provide capability to process and post contributions in accordance with each Plan Sponsor's payroll cycle. The system will also provide capability to enter correction batches as needed.	2
003.006	Active Payroll	Batch Processing	The system will be capable of supporting multiple employer payroll reporting methods including, but not limited to: <ul style="list-style-type: none"> • Text files (.txt) • Excel spreadsheet files • CSV files (.csv) • Manual input by SCERS 	2
003.007	Active Payroll	Batch Processing	The system will provide capability to record and maintain method of entry for each member contribution record. These methods must be some variation of: <ul style="list-style-type: none"> • Active Payroll File Import • Manual Record Entry • Web Transmittal Entry The method of entry value must be automatically populated, based on the origin of the contribution records.	2
003.008	Active Payroll	Batch Processing	The system will provide the flexibility to alter payroll reporting methods as needed.	2
003.009	Active Payroll	Batch Processing	The system will provide the ability for Plan Sponsors to upload their payroll transmittal file directly into the system via an Employer Web Portal.	3
003.010	Active Payroll	Batch Processing	The system will provide the ability for Plan Sponsors to manually input their payroll transmittal information directly into the system through an Employer Web Portal.	3



Sacramento County Employees' Retirement System

RFP for Pension Administration System



003.011	Active Payroll	Batch Processing	<p>The system will allow the following member data points, at a minimum, to be input or imported through the employer payroll transmittal process.</p> <ul style="list-style-type: none"> • Name • Address • Social Security Number • Employer Name or Number • Employee ID • Position • Employment Status Code • Member Contributions by type (Basic, COLA, Supplemental, buyback, etc.) • Employer Contributions by type • Pay Type Code • Hours Worked • Salary Paid • Pay Period Begin Date • Pay Period End Date • Pay Date 	2
003.012	Active Payroll	Batch Processing	<p>The system will create and store/archive a validation record including exceptions detected during import of payroll and contribution transmittal data.</p>	2
003.013	Active Payroll	Batch Processing	<p>The system will provide capability to clearly label each exception or validation failure as either a warning or a fatal error as it happens.</p>	2
003.014	Active Payroll	Batch Processing	<p>The system will provide capability to define exceptions as a warning or fatal error and to categorize and report transmittal data exceptions by severity. Those that have been categorized as non-fatal (warning) will allow data to be posted. Those categorized as a fatal error will not post.</p>	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



003.015	Active Payroll	Batch Processing	<p>The system will validate incoming payroll reporting transmittals at the file level by validating the file format and structure to ensure that the data contained in the file can be properly imported into the system. These validations include, for example:</p> <ul style="list-style-type: none"> • Valid Employer Number (required) • Valid Employer Name • Valid Pay Period and associated Pay Date • Valid File Layout • Valid File Format • Valid Transmittal Batch Number • Batch Totals • Total Member Count 	2
003.016	Active Payroll	Batch Processing	<p>The system will validate incoming payroll reporting transmittals at the data level by validating the data in the file against acceptable and expected values for each data field and that header row totals validate against the total of all records in the corresponding data field. These validations include, for example:</p> <ul style="list-style-type: none"> • Buyback membership does not match the current membership • Buyback payroll contributions do not match expected contributions for a member's open contract • Buyback payroll contract exists but no payroll contributions paid against it • Member payroll contributions do not match expected contributions for the member's classification and pensionable pay amount(s) • Member has a contributions when not expected • Member has no contributions when expected • Contributions received for a retired member • Employment status change from previously reported status • Employee class change from previously reported class • Part-time hours change from previously reported • Hours increased from previously reported • Employee status not valid • Employee status is Terminated without a Termination Date • Employee Tier is invalid, missing, or changed 	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			<p>from previous Tier</p> <ul style="list-style-type: none"> • Employee Classification is invalid, missing, or changed from previous Classification • Service buyback contributions received for a completed or cancelled contract • Member name change • Member Date of Birth change from previous • Member Date of Birth is invalid (>72 years old) • Member hired before age 18 • Marital Status changed from previous • New employee on file and not in system • Member date of hire changed from previous • Member's position changed from previous • Member's department changed from previous • Member is duplicated in file • Social Security Numbers are duplicated but have different names • Names are duplicated with different Social Security Numbers • Age of Entry is invalid, missing, or changed from previous age of entry • Invalid Salary Code • Contribution adjustments • Active and Leave members expected on payroll but not on payroll • Over and under standard hours • Member PIN changes 	
003.017	Active Payroll	Batch Processing	The system will provide capability to prevent updates to the system when fatal errors exist.	2
003.018	Active Payroll	Reports, Forms & Letters	<p>The system will provide capability for detailed reporting on those records that have not passed validation and have been written to the exceptions table.</p> <p>The following information must be reported:</p> <ul style="list-style-type: none"> • Plan Sponsor • Pay Period / Transmittal Number • Name • Employee or other ID Number • Validation Rule Violation Description • Contribution Difference Amount by contribution type (if applicable) 	2
003.019	Active Payroll	Reports, Forms & Letters	The system will provide capability to store/archive and recall historical transmittal exception errors (messages) for reporting purposes, even after the exception has been	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			“cleared” and “posted” to the member’s record.	
003.020	Active Payroll	Workflow & Case Management	The system will provide capability to display all transmittal exceptions on a user interface screen.	2
003.021	Active Payroll	Workflow & Case Management	The system will provide an authorized SCERS user the ability to manually change non-critical incoming payroll and contribution reporting data to correct failed validations and exceptions. This option can be toggled on/off at the discretion of SCERS.	2
003.022	Active Payroll	Workflow & Case Management	The system will provide capability to report, track and allow resolution for all exceptions and validation failures of data in the employer’s transmittal.	2
003.023	Active Payroll	Workflow & Case Management	The system will provide capability for staff to review warnings and update the system if needed.	2
003.024	Active Payroll	Batch Processing	The system will provide the capability, at SCERS’ option, to do partial posting of payroll reporting batches and not prevent correct records from posting while other exceptions are being resolved.	2
003.025	Active Payroll	Batch Processing	The system will provide the capability, at SCERS’ option, to restrict posting of payroll reporting batches until all exceptions in the transmittal are addressed and corrected.	2
003.026	Active Payroll	Batch Processing	The system will provide capability to prevent duplicate or otherwise invalid data from posting to member record.	2
003.027	Active Payroll	Workflow & Case Management	The system will provide capability for the SCERS user to select a single or multiple record(s) with a validation error and post it to the member record once corrective action has been taken.	2
003.028	Active Payroll	Workflow & Case Management	The system will provide capability to correct or verify exceptions found in exception reports before posting the associated data to member records.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



003.029	Active Payroll	Contribution Data	The system will provide the capability to record all of a member's reported salary as submitted by the employer although contributions will not be made beyond the annual IRC 401(a)(17) cap.	1
003.030	Active Payroll	Eligibility	The system will apply the rules of 401(a)(17) compensation limitations to all active members with service in SCERS.	1
003.031	Active Payroll	Eligibility	<p>The system will ensure that the following rules are enforced during the screening/determination of the 401(a)(17) limits for member contributions:</p> <ul style="list-style-type: none"> • Members with entry dates prior to July 1, 1996 are grandfathered into the plan and are subject to a higher limitation. • Members with entry dates on or after July 1, 1996 are subject to full limits as set by the IRS. • Members in the CalPEPRA tiers (Miscellaneous Tier 5 and Safety Tier 4) have different limits according to CalPEPRA legislation based on their work schedule. 	1
003.032	Active Payroll	System Data	The system will provide fields for entry to record the grandfathered limitations for 401(a)(17) set prior to July 1, 1996.	1
003.033	Active Payroll	Usability	<p>The system will, in support of 401(a)(17) enforcement, provide:</p> <ul style="list-style-type: none"> • Information on the New Retiree Benefit Set-up and Benefit Estimate when the Final Average Salary (FAS) used is capped due to the invocation of 401(a)(17) limit. • Information should include the amount of the originally calculated FAS and the limited FAS. • The ability to calculate the full FAS and cap and use the capped salary when FAS exceeds the 401(a)(17) limit. • The ability to enter final average salary amounts from reciprocal agencies that are to be included in the 401(a)(17) testing. • The ability to override the calculated FAS cap and calculated FAS. 	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



003.034	Active Payroll	Validation	<p>The system will provide the following when the 401(a)(17) limitation is invoked for active member contributions received:</p> <ul style="list-style-type: none"> • Ability to set a flag that may be set on an annual basis for active members who require reversal of contributions due to invocation of the 401(a)(17) Contribution limit. • Ability to reset all members' 401(a)(17) Contribution limit on a global/batch and individual basis. • Ability to set reminders to notify SCERS users to reset the contributions within the appropriate payroll system • Validation on the active payroll transmittal process must be available to alert SCERS that the contributions are to be stopped due to 401(a)(17) limits. • Validation alerts are required if SCERS has received contributions for a member who has exceeded the 401(a)(17) contribution limit. 	2
003.035	Active Payroll	Validation	<p>The system will, when calculating a member's buyback (service purchase), test and determine if the completion of the service purchase will exceed the limits specified by 401(a)(17). Pre-testing occurs for all service purchases except repayment of refunds for 415(b).</p>	2
003.036	Active Payroll	Service Data	<p>The system will provide the capability to determine a SCERS member's eligibility for the 30-year cutoff based on the following rules:</p> <ul style="list-style-type: none"> • Service must be consecutive (no breaks) with SCERS for members covered under CERL 31664.1/31664.2 but not for those under 31625.2 when member has reciprocity. • All safety members are eligible except Safety Tier 4. • Miscellaneous members are eligible if they have an entry date on or before March 7, 1973 • Certain service types are not counted toward the limit: (e.g. ARC, military leave, PSC, and frozen non-safety service credits for members covered under 31664.1 and 31664.2 are excluded. ARC is the only excludable purchase for members covered under section 31625.2) • Reciprocal service does count provided reciprocity was established to meet cut off under 31625.2, it does not count under 	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			31664.1, 31664.2.	
003.037	Active Payroll	Service Data	The system will provide the capability to store the 30-year date on the member record once an eligible member has reached the threshold.	2
003.038	Active Payroll	Reports, Forms & Letters	The system will provide capability to identify and report on active members with 30 years or more of service, but for whom contributions have been received.	2
003.039	Active Payroll	Reports, Forms & Letters	The system will provide the capability to automatically report on members approaching the 30-year service threshold within a SCERS specified time period.	2
003.040	Active Payroll	Usability	The system will provide the capability to set a flag on the record of members who have been identified as ineligible for the 30-year cutoff. These members will no longer be included in reports related to the 30-year cutoff.	2
003.041	Active Payroll	Reports, Forms & Letters	The system will provide the capability to generate a letter to the member upon successfully reaching the 30-year cutoff threshold.	2
003.042	Active Payroll	Benefit Data	The system will provide the capability track social security integration. Currently social security integration is based on individual participating employer agreement with social security.	2
003.043	Active Payroll	Benefit Data	The system will provide the capability to accommodate social security integration on a per-employer basis.	2
003.044	Active Payroll	Batch Processing	The system will provide capability to import and process transmittal files live in production, without affecting access to other system functionality.	2
003.045	Active Payroll	Batch Processing	The system will have the capability to differentiate between pensionable and non-pensionable pay based on pay type codes transmitted by the employer.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



003.046	Active Payroll	Batch Processing	<p>The system will provide capability to identify and create a new member record if contributions exist in a transmittal file for a member with a status of Active, but for whom no matching member record exists in the system. Matching criteria will consist of:</p> <ul style="list-style-type: none"> • Name • SSN • Employee ID • Date of Birth 	2
003.047	Active Payroll	Batch Processing	<p>The system will provide capability to automatically import contribution total amount and split the total contribution into the appropriate categories based on the percentage breakdown for each fiscal year, including:</p> <ul style="list-style-type: none"> • Basic Contribution • COLA Contribution <p>The percentage breakdown must be stored in the system and be effective dated so that the system can maintain a historical view, since these breakdowns will also be needed for buyback calculations.</p>	2
003.048	Active Payroll	Batch Processing	<p>The system will provide capability to track and maintain contribution record status of varying values, such as:</p> <ul style="list-style-type: none"> • Posted • Adjusted • Cancelled 	2
003.049	Active Payroll	Batch Processing	<p>The system will provide capability to segregate contributions by Buyback Contract contributions and “regular” contributions, but also include the buyback contributions in the totals for each contribution type as they are repaid.</p>	2
003.050	Active Payroll	Batch Processing	<p>The system will allow multiple records (lines) of data to be imported for each member in a single payroll reporting event, thereby allowing proper separate reporting of multiple pay types occurring in a single pay period. For example, a member receiving regular wages and a vacation time payout in a single pay period will not require that the amounts be reported as a lump sum, but will allow the amounts to be reported separately as different pay code types within the single pay period.</p>	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



003.051	Active Payroll	Batch Processing	The system will provide capability to calculate expected contributions based on each member's transmitted payroll data (member type, pensionable pay amount, age of entry), compare the expected contribution amounts to the actual contribution amounts transmitted and create an exception if there is a discrepancy.	2
003.052	Active Payroll	Batch Processing	The system will provide capability to import member data on those members that are currently on leave, even if they do not have pensionable salary or hours to report for those periods of leave.	2
003.053	Active Payroll	Batch Processing	The system will provide capability to accept salary and service credit for active members with 30 years or more of service, but for whom contributions have stopped.	2
003.054	Active Payroll	Benefit Data	The system will provide capability to provide for each individual member, on a single member contribution screen, individual posted records for each contribution type reported per pay period. These records may include: <ul style="list-style-type: none"> • Contribution Type • Pay Period From Date • Pay Period To Date • Pay Date • Record Status [Posted, Adjusted, Cancelled] • Status Date • Total Contribution Amount • Pre-Tax and Post-Tax Amounts • Transmittal Batch Number • Record Method (Batch or Manual) 	1
003.055	Active Payroll	Benefit Data	The system will provide the automated ability to track retroactive contributions: the amounts, specific pay elements, and the pay periods to which they belong; and properly apply funds to amounts due on a member's account.	1
003.056	Active Payroll	Benefit Data	The system will provide the automated ability to track accounts receivable with regard to contribution amounts due but not paid.	1
003.057	Active Payroll	Benefit Data	The system will provide the automated ability to track accounts payable with regard to contribution amounts made but not due.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



003.058	Active Payroll	Benefit Data	The system will provide capability to accept contributions for members with reduced hours and track variances between calculated amount and received amount for the purpose of tracking accounts receivable.	1
003.059	Active Payroll	Benefit Data	<p>The system will provide capability to provide a Life to Date contribution screen for each member, displaying the following on a single screen:</p> <ul style="list-style-type: none"> • Life to Date Contributions by Type: <ul style="list-style-type: none"> o Basic contributions, pre-tax o Basic contributions, post-tax o COLA contributions, pre-tax o COLA contributions, post-tax o Supplemental Benefit contributions, pre-tax o Supplemental Benefit contributions, post-tax o Supplemental Benefit COLA contributions, pre-tax o Supplemental Benefit COLA contributions, post-tax o Employer-paid, Employee-owned contributions, pre-tax o Employer-paid, Employee-owned contributions, post-tax o Unfunded Actuarial Liability payments, pre-tax o Unfunded Actuarial Liability payments, post-tax <p>The following information must also be totaled for each member:</p> <ul style="list-style-type: none"> • Total Employee Contributions • Total Employer Contributions • Total Pre-tax Contributions • Total Post-tax Contributions • Combined Total Contributions 	1
003.060	Active Payroll	Benefit Data	<p>The system will provide capability to track and maintain contribution records of varying types, including the following:</p> <ul style="list-style-type: none"> • Member Contributions • Employer Contributions • Adjustments • Buyback Payments • Contribution refunds • Employer-paid, Employee-owned contributions • Unfunded Actuarial Liability payments 	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



003.061	Active Payroll	Person Data	The system will provide capability to import key data pertaining to member demographics, payroll, and contributions in the payroll transmittal files submitted by Plan Sponsors or extracted from COMPASS, CHRS, and Highline.	1
003.062	Active Payroll	Reports, Forms & Letters	The system will provide capability to produce detailed reports for reconciliation of individual transmittal batches by tier and contribution type. These reports will contain all critical member-specific data, including but not limited to: <ul style="list-style-type: none"> • Employee Name • Employee Number • Department • Position • Member Employment Status • Pensionable Hours • Salary • Pensionable Pay Amounts • Contribution Amounts by Contribution Type 	2
003.063	Active Payroll	Reports, Forms & Letters	The system will provide capability to report on all new member records created through the transmittal import process, by batch.	2
003.064	Active Payroll	Reports, Forms & Letters	The system will provide capability to capture, track and report member record activity that results in a change in total member balance, including but not limited to: <ul style="list-style-type: none"> • Payroll Contributions Postings • Interest Posting (refundable) • Interest Posting (non-refundable) • Adjustments • Cancellations • Reserve balance 	2
003.065	Active Payroll	Reports, Forms & Letters	The system will provide capability to report on contributions or adjustments received for someone who has a member status other than active.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



003.066	Active Payroll	Reports, Forms & Letters	<p>The system will provide capability to produce variance reports for each transmittal batch. The variance percentage or dollar amount must be SCERS user definable. The report will list all members who have a variance as selected by the SCERS user of a percentage or dollar amount (higher or lower) from the previous pay period transmittal in one or more critical data element, including:</p> <ul style="list-style-type: none"> • Pensionable Salary • Earnable Salary • Contribution Amount • Hours worked 	2
003.067	Active Payroll	Reports, Forms & Letters	<p>The system will provide capability to provide a summary report on any payroll transmittal file or batch, including the following information:</p> <ul style="list-style-type: none"> • Batch Number • Pay Period Begin Date • Pay Period End Date • Pay Date • Total Contribution Amount by Contribution Type • Number of Members Reported 	2
003.068	Active Payroll	Workflow & Case Management	<p>The system will provide capability to create and maintain an audit trail that will record any adjustment, cancellation or manual posting of contribution data to a member's record.</p>	2
003.069	Active Payroll	Workflow & Case Management	<p>The system will provide capability to an authorized SCERS user to reverse, or roll back, the transmittal import process if the transmittal file is discovered to be invalid prior to posting of the data. In such a case, no residual records or data of any sort will remain with regard to general ledger, member or employer records such as contribution, service, hours, etc. In other words, the records will reverse so that they are not posted. However, a record of the reversal will be kept by the system.</p>	2
003.070	Active Payroll	Workflow & Case Management	<p>The system will provide capability to audit and track rollback or reversal of a transmittal file.</p>	2
003.071	Active Payroll	Workflow & Case Management	<p>The system will assign and launch a workflow through which the SCERS user will complete the new hire process when a new member record is created through the presence of contributions in a transmittal file for a member</p>	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			for whom no matching record existed in the system.	
003.072	Active Payroll	Workflow & Case Management	The system will assign and launch a workflow through which the SCERS user will complete the re-hire process when payroll records in a transmittal file are reported with hours and contributions for an existing member in a non-active status.	2
003.073	Active Payroll	Workflow & Case Management	The system will assign and launch a workflow through which a payroll transmittal report batch will be processed that is triggered by import of the transmittal file or by manual entry of transmittal data through an Employer Web Portal.	3
003.074	Active Payroll	Batch Processing	The system will support import of payroll transmittals in the various file formats, including .txt, .xls, and .xlsx files.	2
003.075	Active Payroll	Batch Processing	The system will be capable of sweeping a SCERS specified folder on a periodic basis and automatically importing any payroll transmittal files stored there.	2
004.001	Actuarial Extract	Reports, Forms & Letters	The system will provide the capability to generate an actuarial extract data file at any time.	1
004.002	Actuarial Extract	Reports, Forms & Letters	The system will allow the SCERS user to select the transaction / status effective from and through dates (SCERS user-specified date range) that the system will use to determine which records will be included in the actuarial extract.	1
004.003	Actuarial Extract	Data Import / Export	The system will be able to generate an actuarial extract file containing the following existing data fields (or equivalent) for retired members. <ul style="list-style-type: none"> • Retired • Social Security Number • Name • Gender • Membership (Miscellaneous or Safety) • Tier • Date of birth • Hire date • Plan effective date 	2



			<ul style="list-style-type: none"> • Membership date • Retirement effective date • Cost Center • Bargaining unit • Beneficiary Social Security Number • Beneficiary date of birth • Beneficiary gender • Beneficiary type • Benefit type (Service / Disability Retirement) • Annuity portion of benefit • Pension portion of benefit • Cost-of-living portion of benefit <p>The system will provide a unique code to classify members into the following categories:</p> <ol style="list-style-type: none"> 1. Service retirement 2. Service connected disability retirement 3. Non-service connected disability retirement <p>Continuance status:</p> <ol style="list-style-type: none"> 1. Retirees with a beneficiary eligible for the system's automatic continuance (Yes / No) 2. The beneficiary's relationship to the retired member 3. Code to indicate if the beneficiary is still alive as of the date of the valuation, if available <p>For those retirees who elect the Social Security Supplement option, the system will provide the following:</p> <ol style="list-style-type: none"> 1. Monthly benefit payable before age 62 2. Monthly benefit payable after age 62 3. Final average salary 4. Years of service (converted from unused sick leave) 5. Total years of service, including sick leave conversion 6. Accumulated basic retirement contributions as of retirement date with interest allocated through that date 7. Accumulated COLA retirement contributions as of retirement date with interest allocated through that date 	
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Sacramento County Employees' Retirement System

RFP for Pension Administration System



004.004	Actuarial Extract	Data Import / Export	<p>The system will be able to generate an actuarial extract file containing the data fields for active members, deferred member, and all benefit recipients such as retirees and beneficiaries who died during the specified year Plan Year).</p> <ul style="list-style-type: none"> • Social Security Number • Name • Gender • Membership (Miscellaneous or Safety) • Date of death • Unique code to classify members into the following categories: <ul style="list-style-type: none"> o Active member - service connected death o Active member - non-service connected death o Deceased beneficiary o Others (SCERS to specify) 	2
004.005	Actuarial Extract	Data Import / Export	<p>The system will be able to generate an actuarial extract file containing the data fields from the Retired population with the following additional existing data fields (or equivalent) for beneficiaries and surviving spouses members.</p> <p>Beneficiaries and Surviving Spouses (including DRO's)</p> <ol style="list-style-type: none"> 1. Unique code to classify beneficiaries into the following categories: <ol style="list-style-type: none"> a. Beneficiary (non-spouse and currently not receiving a benefit) b. Beneficiary (non-spouse and currently receiving a benefit) c. Beneficiary (other than a or b above, and member's death is service connected) d. Beneficiary (other than a or b above, and member's death is non-service connected) e. Others (please specify) 2. Member's date of death 3. Beneficiary's date of benefit commencement 4. Beneficiary's relationship to the member 	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



004.006	Actuarial Extract	Data Import / Export	<p>The system will be able to generate an actuarial extract file containing the following existing data fields (or equivalent) for active members (including members on leave of absence):</p> <ul style="list-style-type: none"> • Social Security Number • Name • Gender • Membership (Miscellaneous or Safety) • Tier • Date of birth • Hire date • Plan effective date • Membership date • Employment status (provide explanation for every code used) • Department number (provide list of department number for employees employed by the County, Superior Court, etc.). • Employer • Bargaining unit • Contribution receivable amount • Contributions for the 12 month period • Services broken down by type, plan, and tier a. Note: For those employees who are entitled to a "future service only" benefit enhancement, SCERS indicates years of service that are accrued after June 30, 2003. • Authorized hours as of the last pay period ending before June 30, 20xx • Authorized hourly rate as of the last pay period ending before June 30, 20xx • SCERS gross compensation earned over the 12-month period ending June 30, 20xx • Hours worked over the 12-month period ending June 30, 20xx • Employee and employer contribution percentage as of June 30, 20xx a. Code indicating whether employee is paying Half / Full rate b. Code indicating whether employee will pick-up an additional amount (e.g. 1/5, 1/4, 1/3, or 1/2) or towards paying 50% of the total normal cost • Accumulated basic retirement contributions as of June 30, 20xx with interest allocated through that date • Lump sum contributions for purchased service credits 	2
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Sacramento County Employees' Retirement System

RFP for Pension Administration System



			<ul style="list-style-type: none"> • Accumulated COLA retirement contributions as of June 30, 20xx with interest allocated through that date • Unique code to classify members into the following categories: <ol style="list-style-type: none"> a. Active member b. Active member on Leave of Absences c. Other 	
004.007	Actuarial Extract	Data Import / Export	<p>The system will be able to generate an actuarial extract file containing the data fields from the Active population with the following additional existing data fields (or equivalent) for deferred members.</p> <ul style="list-style-type: none"> • Deferred • Total contributions with interest • Final average compensation as of the date of termination • Unique code to classify members into the following categories: <ol style="list-style-type: none"> a. Terminated member entitled to a deferred vested benefit b. Terminated member who is working for a reciprocal employer and entitled to a deferred vested benefit c. Terminated member entitled only to a refund of contribution d. Other (SCERS to specify) 	2
004.008	Actuarial Extract	Data Import / Export	<p>The system will be able to generate an actuarial extract file containing the data fields from the Active population with the following additional existing data fields (or equivalent) for members that withdrew contributions.</p> <ul style="list-style-type: none"> • Withdrawal • Social Security Number • Name • Gender • Membership (Miscellaneous or Safety) • Tier • Date of Birth • Hire date • Plan effective date • Membership date • Date of termination from service 	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



004.009	Actuarial Extract	Data Import / Export	The system will provide the capability for authorized SCERS users to add, change, or remove the data fields that will be included in the actuarial extract.	1
004.010	Actuarial Extract	Data Import / Export	The system will provide the capability for the SCERS user to filter different and separate data extract files, for example, to capture different subsets of the member population in separate files to be provided to the actuary.	1
004.011	Actuarial Extract	Data Import / Export	The system will ensure that the monthly benefit amount included in the actuarial extract for retirees is the retiree's ongoing regular monthly benefit amount.	1
004.012	Actuarial Extract	Data Import / Export	The system will properly separate, in the retiree extract, retired members whose last employer was SCERS from those whose last employer was a reciprocal agency for the purpose of properly valuing the death benefit for retired members.	1
004.013	Actuarial Extract	Data Import / Export	The system will ensure that the actuarial extract for retirees includes the member's beginning account balance as of June 30th each year rather than the member's initial beginning balance at the time of retirement and will place \$0 when the balance has been exhausted.	1
004.014	Actuarial Extract	Data Import / Export	The system will ensure that service data reported in the actuarial extract includes total service and service broken out by classification (Safety or Miscellaneous) and Tier (1, 2, 3, 4, or 5).	1
004.015	Actuarial Extract	Data Import / Export	The system will provide the capability to produce actuarial data extract files in the following formats, at a minimum. <ul style="list-style-type: none"> • Microsoft Excel • .csv • fixed field length ASCII text file • delimited ASCII text file • .xml 	1
004.016	Actuarial Extract	Data Import / Export	The system will properly maintain separation of an individual's multiple roles in the system during the actuarial extract process. For example, a retired member can be receiving payments as a retiree as well as a beneficiary for a deceased member. These roles must be	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			reported separately.	
004.017	Actuarial Extract	Data Import / Export	The system will provide the capability for an authorized SCERS user to quickly and easily revise the data elements, selection parameters, and output format of the actuarial extract file.	1
004.018	Actuarial Extract	Reports, Forms & Letters	The system will provide the capability to view, print, and save the actuarial extract data file in report format.	1
004.019	Actuarial Extract	Reports, Forms & Letters	The system will provide the capability to alter the criteria used to extract data for the actuary without engaging the system vendor.	1
004.020	Actuarial Extract	Reports, Forms & Letters	The system will provide the capability to query any data field that exists in the system.	1
004.021	Actuarial Extract	Reports, Forms & Letters	The system will produce reports necessary to the production of annual CAFR and PAFR, including but not limited to the following examples: <ul style="list-style-type: none"> • Membership counts by type • Membership counts by category and Employer • Contribution reports by type • Deductions from the Fund (withdrawals, etc.) • Benefit expense by type • Average benefit payment amounts • Total retirement payments by benefit type • Membership changes by status type over time • Others to be defined during system design 	2
004.022	Actuarial Extract	Validation	The system will provide the capability to preview a "trial run" of the actuarial extract report.	2
004.023	Actuarial Extract	Security	The system will provide a secure actuarial (vendor) portal through which SCERS' actuarial firm can query the system for needed information and can obtain current and historical actuarial extract reports.	2
004.024	Actuarial Extract	Security	The system will provide a secure actuarial (vendor) portal through which SCERS' actuarial firm can communicate requests to SCERS for explanation of actuarial data anomalies and correction of errors. The system will maintain a viewable record of these communications for the purpose of	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			tracking historical data issues discovered through the actuarial extract process.	
004.025	Actuarial Extract	Security	The system will provide the ability for SCERS to open and close the actuarial firm's access through the secure actuarial (vendor) portal; for example, to allow the actuarial firm a "window" of time during which they can make queries to the system, rather than continuous open access.	2
004.026	Actuarial Extract	Correspondence	The system will provide the ability to notify the SCERS actuary when they are able to access data through the secure portal.	2
004.027	Actuarial Extract	Security	The system will provide the ability to default to the data elements used in a prior extract, update the information, and then make it available to the actuary through the portal.	2
004.028	Actuarial Extract	Validation	The system will provide the ability for SCERS staff to review the extract prior to it being made available to the actuary.	2
005.001	Benefit Estimates	Benefit Calculation	The system will provide the capability to generate benefit estimates as frequently as requested using data currently available in the system, whether or not audited.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



005.002	Benefit Estimates	Benefit Calculation	<p>The system will, when generating a benefit estimate for an active member, prompt the user to input key parameters affecting the calculation of a benefit estimate for a future date. These may include, but are not limited to, the following:</p> <ul style="list-style-type: none"> • Expected Date of Last Day Paid from last SCERS employer • Expected Retirement Date • Expected Final Average Salary (monthly, annual) • Social Security Modification Election <p>The system will calculate the benefit estimate using the member's calculated age at the time of the user-entered Expected Retirement Date, the existing system Expected Final Average Salary, and a combination of the service credit data already existing in the system and additional expected service credit to be gained (assuming no lost time) by the user-entered Expected Date of Last Day Paid from last SCERS employer. If the user wants to use their own calculated FAS, they must have the ability to enter that as well for the web portal.</p>	1
005.003	Benefit Estimates	Benefit Calculation	<p>The system will provide the capability to generate benefit estimates for both vested and non-vested active members, provided that for non-vested active members the requested retirement date is at or beyond the date on which the member would become first eligible to retire.</p>	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



005.004	Benefit Estimates	Benefit Calculation	<p>The system will, when generating a benefit estimate for a terminated-deferred member with reciprocal rights, prompt the user to input key parameters affecting the calculation of a benefit estimate for a future date. These may include, but are not limited to, the following:</p> <ul style="list-style-type: none"> • Expected Reciprocal Service • Expected Retirement Date • Expected Final Average Salary (monthly, annual) • Social Security Modification Election <p>The system will calculate the benefit estimate using the member's calculated age as of the user-entered Expected Retirement Date, the existing system Expected Final Average Salary, and a combination of the service credit data already existing in the system. The system will take into consideration reciprocal service for the purpose of determining retirement eligibility.</p> <p>If the member wants to use their own calculated FAS, they must have the ability to enter that as well.</p>	1
005.005	Benefit Estimates	Benefit Calculation	<p>The system will, when generating a benefit estimate for a terminated-deferred or terminated-vested member, prompt the user to input key parameters affecting the calculation of a benefit estimate for a future date. These may include, but are not limited to, the following:</p> <ul style="list-style-type: none"> • Expected Retirement Date • Social Security Modification Election • Actual Final Average Salary (monthly, annual) <p>The system will calculate the benefit estimate using the member's calculated age as of the user-entered Expected Retirement Date, the calculated Final Average Salary already existing in the system, and the calculated service credit data already existing in the system.</p>	1
005.006	Benefit Estimates	Benefit Calculation	<p>The system will provide a member Web Portal access that will allow members to generate, save, and print their own benefit estimates via the internet at any time they choose based on existing data in the system and/or user overridden data.</p>	3



Sacramento County Employees' Retirement System

RFP for Pension Administration System



005.007	Benefit Estimates	Benefit Calculation	The system will be able to calculate benefits for different types of retirements, including elements such as available options elected, FAS, Service, and/or Age Factors as outlined in the applicable requirements documents.	1
005.008	Benefit Estimates	Benefit Estimates	The system will provide the capability to produce benefit estimates for all types of SCERS benefits.	1
005.009	Benefit Estimates	Benefit Estimates	The system will provide the capability to save benefit estimates, together with their assumptions and the date of the estimates, as data in the PAS for historical reference	1
005.010	Benefit Estimates	Benefit Estimates	The system will provide the capability to recall/view benefit estimates, together with their assumptions.	2
005.011	Benefit Estimates	Benefit Estimates	The system will provide the capability to produce benefit estimates at any time without affecting member's permanent data in the PAS.	1
005.012	Benefit Estimates	Benefit Estimates	The system will provide the capability to produce benefit estimates containing all benefit options pertinent to the member.	1
005.013	Benefit Estimates	Benefit Estimates	The system will provide the capability to produce benefit estimates containing only the option(s) requested by the member.	1
005.014	Benefit Estimates	Service Purchase	Without affecting the member's permanent data, the system will provide the capability to show the impact of purchasing service credits prior to retirement.	1
005.015	Benefit Estimates	IRC 415	The system will include a notice on the estimate if the IRC 415(b) limitation may apply to the member.	1
005.016	Benefit Estimates	System Data	The system will use member data, business rules, and benefit tables stored within the PAS database to calculate the content of the estimates.	1
005.017	Benefit Estimates	Benefit Estimates	The system will provide the capability to delete benefit estimates by a SCERS authorized users.	1
005.018	Benefit Estimates	Benefit Estimates	The system will provide the capability to include custom notes and comments on the benefit estimates.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



005.019	Benefit Estimates	Calculation	The system will provide the capability to include DROs in the benefit estimate calculation.	1
005.020	Benefit Estimates	Calculation	The system will provide the capability to include multiple beneficiaries and their dates of birth in the benefit estimate calculation.	2
005.021	Benefit Estimates	Calculation	The system will provide the capability to override benefit eligibility when creating an estimate, without affecting the member's permanent data.	1
005.022	Benefit Estimates	Calculation	The system will compute projected values in the benefit estimate based on known values provided as input.	2
005.023	Benefit Estimates	Calculation	The system will compute service and/or salary given a desired benefit amount as input (i.e. reverse benefit calculator).	1
005.024	Benefit Estimates	Service Purchase	The system will provide the capability to override or enter manually values for purchased service when creating an estimate, without affecting the member's permanent data.	1
005.025	Benefit Estimates	Reciprocal Service	The system will provide the capability to override or enter manually values for reciprocal service to determine eligibility when creating an estimate, without affecting the member's permanent data.	2
005.026	Benefit Estimates	Calculations	The system will provide the capability to include calculations regarding Social Security modification at age 62/65 on the benefit estimate, where applicable.	2
005.027	Benefit Estimates	Reports, Forms & Letters	The system will provide the capability to manually edit the content of the estimate letters to accommodate special circumstances.	2
005.028	Benefit Estimates	Reports, Forms & Letters	The system will provide the capability to include custom notes and comments on the estimate letter.	2
005.029	Benefit Estimates	Reports, Forms & Letters	The system will provide the capability to exclude SSNs from all letters.	1
005.030	Benefit Estimates	Reports, Forms & Letters	The system will provide the capability to include any disclaimers on the estimate letter.	1
005.031	Benefit Estimates	Usability	The system will have the ability to allow the SCERS user to see the same screens as the	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			participant when creating benefit estimates.	
005.032	Benefit Estimates	Web Portal	The web portal will have the ability to produce the estimate based on actual (real-time) data from the system.	2
005.033	Benefit Estimates	Web Portal	The system will provide the capability for a web user to perform estimates of their benefit by utilizing benefit factors that are in the system and also that are manually entered by the user.	2
005.034	Benefit Estimates	Web Portal	The system will provide the capability for a web user to generate multiple estimates simultaneously in order to provide a side-by-side comparison of the estimates.	3
005.035	Benefit Estimates	Web Portal	The system will provide the capability for the web user to produce an estimate that will allow the web user to enter a benefit amount and have the system provide the other factors needed to reach that amount.	2
005.036	Benefit Estimates	Web Portal	The system will provide the capability to generate a printable estimate based on information that a web user inputs through the web portal.	2
005.037	Benefit Estimates	Calculation	The system will have the ability to identify disallowed benefit enhancements based on rules defined by SCERS in the Final Average Salary requirements document.	1
005.038	Benefit Estimates	Benefit Estimates	The system will have the ability to do comparison estimates, for example, Service Retirement vs. Disability Retirement. For a SCERS user, include a comparison for Active Death.	2
005.039	Benefit Estimates	Benefit Calculations & Refunds	The system will provide the capability to identify accounts where the annuitized contributions and interest exceed a formula based benefit, i.e., Money Purchase.	1
005.040	Benefit Estimates	Benefit Calculations & Refunds	The system will provide the capability to notify the SCERS user that a calculation will be needed when the annuitized contributions and interest exceeds a formula based benefit, i.e., Money Purchase.	1
005.041	Benefit Estimates	Reports, Forms & Letters	The system will provide the capability to generate a list of accounts that need to be reviewed and have a calculation performed by	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			an actuary.	
005.042	Benefit Estimates	Benefit Calculations & Refunds	The system will provide the capability to annuitize contributions and interest based on factors provided by the SCERS actuary to calculate a monthly lifetime benefit.	1
005.043	Benefit Estimates	Benefit Calculations & Refunds	The system will provide the capability for a SCERS user to input a retroactive retirement date when generating an estimate.	1
005.044	Benefit Estimates	Benefit Data	The system will provide the capability to determine a Miscellaneous or Safety member's plan/tier(s) for service, age factor, and FAS purposes. A member may have service in multiple plan/tiers.	1
005.045	Benefit Estimates	Reports, Forms & Letters	The system will provide the capability to generate a printable version of a benefit estimate for a SCERS user that includes the system factors used in the estimate and any overridden factors.	1
005.046	Benefit Estimates	Benefit Calculation	The system will provide the capability to calculate an FAS value based on both a 1-year and 3-year measuring period for members with reciprocal service and include both values in a benefit estimate.	1
005.047	Benefit Estimates	System Data	The system will be capable of importing a data file (excel, .txt, .csv, etc.) containing actuarial factor tables received from the actuary from time to time.	1
006.001	Buybacks (Service Purchases)	Benefit Calculation	The system will provide the capability to calculate and prepare buyback contracts for eligible movement from one tier to another. For example, the movement from Miscellaneous tier 2 to Miscellaneous tier 3.	1
006.002	Buybacks (Service Purchases)	Benefit Calculation	The system will provide the capability to calculate contributions owed based on the member's contribution rate in effect during the leave.	1
006.003	Buybacks (Service Purchases)	Benefit Calculation	The system will provide the capability to calculate accrued Board Interest credited for contributions for a purchase of leave from the date of the leave through the contract initiation date.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



006.004	Buybacks (Service Purchases)	Benefit Calculation	The system will provide the capability to apply salary increases or decreases to the calculation of contributions for a purchase of leave from the effective date of the increase or decrease.	1
006.005	Buybacks (Service Purchases)	Benefit Data	The system will provide the capability to track leave incidents including dates and reasons for leaves.	1
006.006	Buybacks (Service Purchases)	Person Data	The system will provide the capability to associate a purchase contract to a leave incident.	1
006.007	Buybacks (Service Purchases)	Person Data	The system will provide the capability to prevent buyback of a leave period from which the employee has not already returned to work.	1
006.008	Buybacks (Service Purchases)	Person Data	The system will provide the capability to track and record medical leaves of absence including begin and end dates associated with the incident.	1
006.009	Buybacks (Service Purchases)	Person Data	The system will provide the capability to track multiple medical leave/FMLA absences.	1
006.010	Buybacks (Service Purchases)	Person Data	The system will provide the capability to track member's purchase status as Public Service Credit or Active Military Service.	1
006.011	Buybacks (Service Purchases)	System Data	The system will provide the capability to track non-contributory service due to a military leave, upon returning to work and producing a copy of their orders, to the member at no cost to the member. The maximum creditable military service period is five (5) years. Crediting of service occurs at time of retirement.	1
006.012	Buybacks (Service Purchases)	Accounting	The system will provide the capability to track the contributions and interest due to SCERS, as a result of crediting Active Military service time to a members account, as part of the unfunded employer liability.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



006.013	Buybacks (Service Purchases)	System Data	<p>The system will provide the capability to define rules for pre-membership. All SCERS members shall be permitted to purchase time for eligible extra help/on-call, pre-membership, seasonal, or temporary time. The following rules apply:</p> <ul style="list-style-type: none"> • Purchase of Service Credit period must be attributable to SCERS Plan Sponsor time worked while the employee was not eligible for SCERS membership. • The service time to be purchased must be certified by the applicable Plan Sponsor where the time was worked. • Member must pay the contributions that would have been made to the retirement fund for the length of time being purchased, based on the applicable contribution rate, associated SCERS gross pay during the temporary/on-call period, and applicable membership date for that service period in SCERS, plus the Board Credited Interest that would have accrued on those contributions from the corresponding membership/re-hire date. • The entry date to the system will not be altered – it remains the date that membership began, even if pre-membership time is purchased. • Service is credited to a plan that corresponds to the type of temporary service the employee worked. EXAMPLE: If member was an On-Call Deputy Sheriff but entered into membership in a Misc. position, Misc. rates are used to calculate, but service gets credited into a Safety tier.] 	1
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Sacramento County Employees' Retirement System

RFP for Pension Administration System



006.014	Buybacks (Service Purchases)	System Data	<p>The system will provide the capability to define rules for Post-Termination buyback. All SCERS members shall be permitted to purchase time for temporary/on-call employment between two periods of contributory service. The following rules apply:</p> <ul style="list-style-type: none"> • Member must pay the contributions that would have been made to the retirement fund for the length of time being purchased, based on the applicable contribution rate, associated SCERS gross pay during the temporary/on-call period, and applicable membership date for that service period in SCERS, plus the Board Credited Interest that would have accrued on those contributions from the date the member left their funds on deposit from the preceding contributory period. • Service is credited to a plan that corresponds to the type of temporary service the employee worked. EXAMPLE: If member was an On-Call Deputy Sheriff but entered into membership in a Misc. position, Misc. rates are used to calculate, but service gets credited into a Safety tier.] 	1
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Sacramento County Employees' Retirement System

RFP for Pension Administration System



006.015	Buybacks (Service Purchases)	System Data	<p>The system will provide the capability to define rules for purchase of medical leave.</p> <ul style="list-style-type: none"> • Leave must be an approved medical leave absence. • May purchase only up to the equivalent of one (1) year of service credit per leave occurrence. • Must have been an active member in the system during the leave of absence and must return to work to be eligible to purchase the service time. • Must be an active or deferred member to buy time from an eligible leave of absence period (see previous bullet point). • Member must submit documentation for medical leave identifying the period unless SDI/WCI time is identified through payroll data. • The member must pay the difference between the member's contributions using rates applicable during the leave period and associated pay which is based upon work schedule (part-time, full-time of 80/84 hours (for Legacy tiers - rules apply for special pay elements as to whether they are brought up to 80 hours value or left as-is) and the actual hours/contributions that were received for the given pay periods. In turn, this difference is multiplied by the interest factor (i.e. Redeposit Factor) based upon the first day of the medical leave period. 	1
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Sacramento County Employees' Retirement System

RFP for Pension Administration System



006.016	Buybacks (Service Purchases)	System Data	<p>The system will provide the capability to define rules for purchase of unpaid leave of absence (FMLA) time.</p> <ul style="list-style-type: none"> • Leave must be an approved unpaid leave of absence (for Member or qualified family member). • May purchase only up to 480/504 hours within a one (1) year period. • Must have been an active member in the system during the leave of absence. • FMLA is based upon the dates provided on the employer's "Unpaid Leave of Absence Request" document. • The member must pay the difference between the member's contributions using rates applicable during the leave period and associated pay which is based upon work schedule (part-time, full-time of 80/84 hours (for Legacy tiers - rules apply for special pay elements as to whether they are brought up to 80 hours value or left as-is) and the actual hours/contributions that were received for the given pay periods. • FMLA leave is calculated one pay period at a time and will cease if the member fails to respond to information requests. • If the member doesn't buy the time during their leave and if the time was for themselves, then the member can buy the time as a medical leave purchase. If the purchase is for a medical leave, then requirement 6.15 must be adhered to. • If the member doesn't buy the time during their leave and the time was for a qualified family member, the member is ineligible to purchase at a later date. 	1
006.017	Buybacks (Service Purchases)	Eligibility	<p>The system will, in the event that a member has met the 30-year cutoff for contributions, goes on a medical leave of absence and then returns providing appropriate documentation, not calculate a cost for the purchase of that time, but will post the time to the member's account.</p>	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



006.018	Buybacks (Service Purchases)	System Data	<p>The system will provide the capability to define rules for Public Service Credit. Service with specific public agencies may be purchased as SCERS service time. Public agency is defined as:</p> <ul style="list-style-type: none"> • Military Service with the U.S. federal government (requires a copy of the DD214 form and a certification of lack of eligibility form). • Civilian Service with the U.S. federal government (certification of public service is required). • Any department or agency of the State of California. • Any city or county within California. • Any public corporation, municipal corporation, or public district situated in whole or in part within the County of Sacramento. <p>Public Service Credit Rules include the following:</p> <ul style="list-style-type: none"> • Public Service Credit can only be purchased while an active or deferred member. • The maximum amount of Public Service Credit purchasable is four (4) years. • The member cannot be eligible to receive a retirement benefit from the other entity for the service period being purchased. • The member must not have redeposited or purchased service credit with any other public agency for the service period being purchased. • The purchase must be an equivalency of hours • Public Service Credit must pre-date SCERS entry date and any redeposited service. • Service credit will be applied to the retirement tier in which the member was placed at the time of current membership in the system. • Time purchased does not count towards eligibility for vesting or membership. <p>Purchased time is used in the calculation of retirement benefits.</p> <ul style="list-style-type: none"> • Calculation is based on applicable age of entry, most recent date of membership, salary at date of membership, benefit tier and classification. 	1
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Sacramento County Employees' Retirement System

RFP for Pension Administration System



006.019	Buybacks (Service Purchases)	Benefit Calculation	The system will provide the capability to calculate Public Service Purchases using the following information: <ul style="list-style-type: none"> • SCERS gross is applied against contribution rates as of SCERS entry date (or first date covered by redeposit if applicable). If this is for a biweekly pay period, then it must be converted into a monthly contribution by multiplying it by 26.1, divide by 12 to get first monthly contribution amount. [If semi-monthly convert by multiplying by 24.] Take the first monthly contribution amount and multiply by 2. This in turn is multiplied by the number of months the member has requested to purchase. The current COL factor for whatever plan/tier to be credited is used to break out the COL/REG contributions. 	1
006.020	Buybacks (Service Purchases)	Usability	The system will provide the capability for an appropriately authorized SCERS user to manually adjust purchased service in the system for a buyback that was completed in the past but does not appear in the system.	2
006.021	Buybacks (Service Purchases)	Benefit Calculation	The system will calculate the Park Ranger Safety Conversion according to the following logic: Difference in contributions and interest from member's Misc. plan to Safety Tier 2 for period of 6/25/95 - 02/10/01 applied against interest factor (i.e. Redeposit Factor) based on 2/10/01 date.	1
006.022	Buybacks (Service Purchases)	System Data	The system will provide the capability to load up the remaining balance and pro-ration of purchases in-progress if not paid off and issue documents to communicate to the member. (New ARC purchases are no longer available.)	1
006.023	Buybacks (Service Purchases)	System Data	The system will provide the capability to facilitate the process and calculation of Probation Safety Conversion as a type of purchase. This includes the reclassification of contributions, interest, and service that were made during the specified purchase period.	1
006.024	Buybacks (Service Purchases)	Batch Processing	The system will provide the capability to post service purchase payments that are transmitted with payroll contributions by the plan sponsors for the applicable payroll period and reduce the appropriate receivable for the	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			purchase.	
006.025	Buybacks (Service Purchases)	Benefit Data	The system will provide the capability to track service purchase contract payments.	1
006.026	Buybacks (Service Purchases)	Benefit Data	The system will provide the capability to track and link payments and service with a particular service contract.	1
006.027	Buybacks (Service Purchases)	Benefit Data	The system will provide the capability to accommodate for installment payments on service credit purchases.	1
006.028	Buybacks (Service Purchases)	Benefit Data	The system will provide the capability to suspend service purchase payments.	1
006.029	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability to notify a member when a self-payment is required for a service purchase based on SCERS specified criteria.	2
006.030	Buybacks (Service Purchases)	Benefit Data	The system will provide the capability for a member to make payment for service credit purchase by selecting one of the following options: <ul style="list-style-type: none"> • Lump Sum Payment – This payment option is accepted using post-tax dollars. Payments are usually submitted as a check. • Payroll Deductions – This payment option must be set up through the member's Plan Sponsor. Payments for this option are accepted using pre-tax dollars. • Direct Rollover – This payment option only accepts pre-tax dollars from tax qualified plans such as a 403(b) and 457. Partial or full lump sum payments can be made via rollover from any one of the tax qualified plans as specified in the SCERS resolution which requires conclusive proof that the IRA does not include any post-tax dollars. • Combination – Member may use any combination of the options above. 	1
006.031	Buybacks (Service Purchases)	Benefit Data	The system will provide the capability to manually post service purchase payments to member records.	1
006.032	Buybacks (Service	Benefit Data	The system will provide the capability to track the tax status (pre-tax or post-tax) of all	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



	Purchases)		service purchase payments.	
006.033	Buybacks (Service Purchases)	Person Data	<p>The system will provide the capability to record and maintain records of service purchase agreements in the member record, including, but not limited to the following information:</p> <ul style="list-style-type: none"> • Service purchase government code section • Number sequence for the purchase (if there's more than one and the order in which the member must purchase) • Service purchase type • Plan/Tier for service purchase • Staff ID of the person who processed the respective service purchase • Service Period purchased • Service Purchase start date • Expected Service Purchase end date • Status [Active, Paid, Cancelled] • Status date • Payment option (lump sum/installments/pretax/post tax) • Total Service Credit being Purchased • Total contributions due • Contributions to date (broken down into Basic, COLA, etc.) • Total Board Credited interest (on contributions) due by contribution type • Total financing interest • Total purchase cost • Total payment received pre-tax • Total payment received post-tax • Balance due • Balance due effective date • Last Purchase payment received 	1
006.034	Buybacks (Service Purchases)	Accounting	The system will provide the capability to create separate receivables for different purchase contracts.	1
006.035	Buybacks (Service Purchases)	Person Data	The system will provide the capability to record the payment option selected by the member.	1
006.036	Buybacks (Service Purchases)	Person Data	The system will provide the capability to document proof of pre-tax qualification of a member's rollover payment source.	1
006.037	Buybacks (Service	Person Data	The system will provide the capability to record and maintain financial institution data if the member selects rollover or transfer as the	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



	Purchases)		payment option.	
006.038	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability to generate a warning and a report if member returns from a leave, to let staff know that there are outstanding payroll deductions.	2
006.039	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability to generate a report when a member goes on a SCERS specified leave such as SDI, Workers' Compensation Integration, or Leave of Absence.	2
006.040	Buybacks (Service Purchases)	System Data	The system will provide the capability to define payment plans. Payment plans will include the payment amounts, number of payments, interest factor and projected interest.	1
006.041	Buybacks (Service Purchases)	Benefit Calculation	The system will provide the capability to calculate accrued interest for a redeposit.	1
006.042	Buybacks (Service Purchases)	Benefit Data	The system will provide the capability to apply service credit for a redeposit to the original plan/tier on which the service was accrued.	1
006.043	Buybacks (Service Purchases)	Benefit Data	The system will provide the capability to restrict redeposit amounts to service previously withdrawn.	1
006.044	Buybacks (Service Purchases)	System Data	<p>The system will provide the capability to define rules for redeposit.</p> <ul style="list-style-type: none"> • Pursuant to the dictates of Government Code Section 31831.1, members that withdraw their contributions and interest on or before 12/31/1971 and entered membership with a reciprocal system before 12/31/1977, they can redeposit to establish reciprocity without having to return to work. <p>Active and Deferred members shall be allowed to redeposit previously withdrawn contributions pursuant to the dictates of Government Code Section 31652. The following rules apply:</p> <ul style="list-style-type: none"> • The repayment term may not exceed the length of the period of service being purchased. For example, if an active member is purchasing three years of service credit, that member will have the option of choosing payroll deductions over three years. This doesn't apply to ARC or Public Service Credit purchases. 	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			<ul style="list-style-type: none"> • If the service purchase exceeds 10 years, the maximum length of the payment period cannot exceed 10 years unless approved by the Chief Executive Officer. • Except for Safety members (currently safety in the reciprocal system or were safety while with the system), member must return to work in order to redeposit. • Member must redeposit all previously withdrawn funds. • There is no posting of pro-rata service for redeposit payments, if total payment is not completed for any reason, any partial payment will be refunded. • If terminating prior to the completion of a payment plan for a redeposit, the member has 120 days to pay off the balance due to receive the service credit, otherwise the full amount paid will be refunded and no service credit issued. If the member elects to defer and leave funds on deposit, he or she may make a lump sum payment for the balance due. • Member must pay all of the previously withdrawn retirement contributions plus the interest (redeposit factor) that would have accrued on those contributions had they remained on deposit since the date of withdrawal. • Service credit will be applied to the retirement plan/tier and retirement type (integrated or non-integrated) in which it was originally accrued. • For members redepositing to re-enter the system, the member has to respond within 30 days of receipt of the calculation to change retirement tier retroactive to re-hire date. 	
006.045	Buybacks (Service Purchases)	System Data	The system will provide the capability to refer to refund history in a member's record in order to compute the amount of service time available, and the associated cost of a redeposit purchase.	1
006.046	Buybacks (Service Purchases)	System Data	The system will, in the case of a redeposit of withdrawn funds, use the applicable interest date at time of the refund.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



006.047	Buybacks (Service Purchases)	Workflow & Case Management	The system will provide the capability to credit all redeposit payments back to the member without posting any service, if the member retires, terminates, or dies prior to completing the redeposit and does not elect to pay the balance due within 120 days.	2
006.048	Buybacks (Service Purchases)	Workflow & Case Management	The system will provide the capability, in a situation where a member doesn't complete a redeposit to re-enter, to convert all current service that was put into the former tier into the tier the member would've been in had they not started the redeposit to re-enter.	1
006.049	Buybacks (Service Purchases)	Benefit Data	The system will recognize a return to service as the reporting of at six (6) minutes (.1 hours) of regular hours by the member's employer.	1
006.050	Buybacks (Service Purchases)	Person Data	The system will provide the capability to restrict purchase of medical leave or unpaid Leave of Absence to members that return to service after the leave.	1
006.051	Buybacks (Service Purchases)	System Data	The system will maintain record of buyback contracts generated in the system.	1
006.052	Buybacks (Service Purchases)	Workflow & Case Management	The system will provide the capability to track the passage of time following generation of a buyback contract for redeposits to re-enter and designate the contract as invalid after 30 days have passed. Buyback contracts for any other type of purchase are invalid after the next interest crediting period.	2
006.053	Buybacks (Service Purchases)	Workflow & Case Management	The system will provide the capability for an authorized SCERS user to override a system invalidation of a buyback contract to account for special circumstances.	2
006.054	Buybacks (Service Purchases)	Benefit Calculation	The system will provide the capability to calculate financing interest for purchase of any service buyback.	1
006.055	Buybacks (Service Purchases)	Benefit Calculation	The system will provide the capability to calculate interest on service for each type of purchase based on the applicable factors such as the following: <ul style="list-style-type: none"> • SCERS entry date • Date of withdrawal • For medical leaves, date the leave started. 	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



006.056	Buybacks (Service Purchases)	Benefit Calculation	The system will provide the capability to apply one or more interest factors to a buyback for situation where there is a payment plan. For instance, if the member selects a payment plan option via payroll deductions, an additional financing interest rate will be applicable. This financing interest factor is the actuarial assumed rate of return at the time of purchase. Currently, SCERS applies a 7.5% financing interest rate to elect a payment plan.	1
006.057	Buybacks (Service Purchases)	System Data	The system will provide the capability to record and maintain a table of the financing interest rates used in buyback calculations at any time.	1
006.058	Buybacks (Service Purchases)	System Data	The system will provide the capability to adjust the interest factors without the need for programming changes.	1
006.059	Buybacks (Service Purchases)	System Data	The system will provide the capability to record and maintain a table of retrospective and prospective interest factors to be used in the calculation of service purchase costs.	1
006.060	Buybacks (Service Purchases)	System Data	The system will provide the capability to combine the purchase of multiple periods of the same type of service in a single buyback contract.	1
006.061	Buybacks (Service Purchases)	System Data	The system will provide the capability to maintain and credit multiple service purchase contracts concurrently.	1
006.062	Buybacks (Service Purchases)	Benefit Calculation	The system will provide the capability to calculate buybacks with different rates depending on the timing of the purchase.	1
006.063	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability to notify members of the various types of service purchases that are available and the order in which they must be purchased in order to qualify for each one based on information specified by SCERS.	1
006.064	Buybacks (Service Purchases)	Usability	The system will provide the capability for a SCERS user to override the contribution rates and plan/tier to be credited.	1
006.065	Buybacks (Service Purchases)	Benefit Calculation	The system will provide the capability to calculate the payoff balance of a pre-tax service purchase contract in the event of member's retirement, termination, or death to allow the purchase to be completed within 120	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			days.	
006.066	Buybacks (Service Purchases)	Benefit Calculation	The system will provide the capability to recalculate an existing payment contract with new parameters following a termination, retirement, or death.	1
006.067	Buybacks (Service Purchases)	Benefit Data	The system will provide the capability to post service to the member's account incrementally with each payment made during the course of a buyback payment plan.	1
006.068	Buybacks (Service Purchases)	Benefit Data	The system will provide the capability to post the full service purchase amount at the beginning of the purchase to a members account based on the preferences that SCERS stipulates.	1
006.069	Buybacks (Service Purchases)	Workflow & Case Management	The system will provide the capability for beneficiaries to pay off service purchases. In the event of an active member's death, the beneficiary is given the opportunity to pay off any pre-tax and post-tax service purchase agreements active at the time of death if the beneficiary is eligible to receive a continuing benefit.	2
006.070	Buybacks (Service Purchases)	Usability	The system will provide the capability for SCERS staff to override the amount of service that is posted to a member's account.	1
006.071	Buybacks (Service Purchases)	Accounting	The system will provide the capability to establish a receivable on the member's account when a completed purchase agreement is received.	1
006.072	Buybacks (Service Purchases)	Eligibility	The system will limit the time to complete a buyback of post-termination time to 30 days from time of retirement, termination, or death.	1
006.073	Buybacks (Service Purchases)	Benefit Data	The system will provide the capability to allow a one-time buyback purchase on a terminal check.	1
006.074	Buybacks (Service Purchases)	Benefit Calculation	The system will calculate payroll deduction payment plans with durations not exceeding the length of the period of service being purchased and where the deduction is at least \$25 each pay period.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



006.075	Buybacks (Service Purchases)	Usability	The system will allow an appropriately authorized SCERS user to override the system calculated payment plan duration for buyback, if needed.	2
006.076	Buybacks (Service Purchases)	System Data	The system will provide the capability to accommodate ARC purchases that are being paid for on a 10-year payment plan.	2
006.077	Buybacks (Service Purchases)	Benefit Calculation	The system will provide the capability to limit the amount of time that a member must complete the purchase of all Public Service Credit based on five (5) years from the first payment. For instance, if a member has four (4) years' worth of Public Service Credit and elects to purchase one (1) year of the time over a 5-year period, they must purchase the remaining three (3) years within that same 5-year period or they forfeit the right to purchase that time.	1
006.078	Buybacks (Service Purchases)	Person Data	The system will provide the capability for SCERS to override the timeline that a member must purchase service based on special circumstances.	1
006.079	Buybacks (Service Purchases)	Interest	The system will provide the capability to apply an interest factor to purchase service credit.	1
006.080	Buybacks (Service Purchases)	Benefit Data	The system will provide the capability to restrict revocation of service purchase payment plans. The system will consider payment plans as irrevocable and cannot be changed or pre-paid, except in the event of termination, retirement, or death. Final payoff amounts cannot be paid as part of a payroll deduction.	1
006.081	Buybacks (Service Purchases)	Workflow & Case Management	The system will provide the capability to track periods of eligibility for SCERS membership.	2
006.082	Buybacks (Service Purchases)	Benefit Calculations	The system will provide the capability to define the calculation rules for all aspects of service purchase.	2
006.083	Buybacks (Service Purchases)	Workflow & Case Management	The system will provide the capability to track contribution withdrawals.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



006.084	Buybacks (Service Purchases)	Benefit Data	The system will provide the capability for the member to make a lump sum payment.	2
006.085	Buybacks (Service Purchases)	Workflow & Case Management	The system will provide the capability to record whether a member is receiving benefits from another agency.	2
006.086	Buybacks (Service Purchases)	Benefit Calculations	The system will provide the capability to credit military periods during pre-or post-membership if they return to SCERS covered employment within a SCERS specified period of time.	2
006.087	Buybacks (Service Purchases)	Benefit Calculations	The system will provide the capability to identify service types attributed to a service purchase.	2
006.088	Buybacks (Service Purchases)	System Data	The system will provide the capability to record and maintain history of payment plan details and interest rate.	2
006.089	Buybacks (Service Purchases)	Validation	The system will provide the capability to validate that the new service purchase contract number is not identical to one that is already in the system when modifying a contract.	2
006.090	Buybacks (Service Purchases)	Usability	The system will provide the capability to define rules for purchase of missed contributions due to a payroll error.	2
006.091	Buybacks (Service Purchases)	Validation	<p>The system will provide the capability to define validation rules for purchase of service credit. In order to reduce the amount of input errors for a purchase of service credit, the new PAS must provide a validation check when the staff is entering the contract details into the system based on certain criteria for various input fields. For example:</p> <ul style="list-style-type: none"> • Length of Purchase of Service Credit cannot exceed the specific period being purchased (except for PSC and ARC purchase). • Amount of payments cannot exceed the number of payments allowed for the selected Purchase of Service Credit. • Whenever possible the system must pull any compensation earnable, including additional pensionable pay components, automatically from the PAS. If the data is present, the system must pull actual pay data from the historic PAS data to derive actual contribution data. • Table to maintain contribution rates that are 	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			applicable during the date of membership. • Entering month, day, and year of date of membership – pull this data and calculate the appropriate interest.	
006.092	Buybacks (Service Purchases)	Workflow & Case Management	The system will provide an intuitive, workflow-based business process for SCERS users to calculate and set up purchases of service for members. At a general level, SCERS users must be able to do as follows: 1. Be able to identify eligible periods of time for purchase 2. Use a guided process to calculate the amount of service being purchased and the associated cost for the purchase 3. Have the ability to create a series of payment plans for the member that presents options for paying for the service time 4. Have the ability to create and send to the member a professional communication that contains an easily understood summary of the options. 5. Provide the member the ability to select an option for purchase and communicate this back to staff. 6. Provide the member a web-based tool to perform their own estimates of purchase, and the ability to transmit their preferred option to staff for further action.	2
006.093	Buybacks (Service Purchases)	System Data	The system will provide the capability to maintain a history of all service purchase occurrences in a member's record.	2
006.094	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability to issue a service purchase contract, specific to individual and type of purchase, based on the results generated in a service purchase worksheet.	2
006.095	Buybacks (Service Purchases)	Usability	The system will provide the capability to adjust an existing service contract in the event that the original set-up terms were entered incorrectly.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



006.096	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability to generate a service contract and letter to the member detailing options for purchase of service including but not limited to: <ul style="list-style-type: none"> • Plan/tier to be credited • Length of service purchased • Dates of service purchased • Options to pay • Total cost for each option 	2
006.097	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability to edit the service contract and letter to member prior to sending to member.	2
006.098	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability to generate a denial letter if the member is not eligible to make the requested purchase of service.	2
006.099	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability to edit the denial letter prior to sending to member.	2
006.100	Buybacks (Service Purchases)	Member Portal	The system will provide the capability to provide the web portal user with a service purchase calculator that will compute a service purchase estimate, based on the member record and specific data entered by the user.	2
006.101	Buybacks (Service Purchases)	Workflow	The system will provide the capability to track and alert staff if a service purchase election is not received within the allowable time frame.	2
006.102	Buybacks (Service Purchases)	Benefit Data	The system will provide the capability to post final amounts and service credit in case of an early pay-off due to retirement, termination, or death.	1
006.103	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability, in situations of retirement, terminations, and death, calculate the remaining balance of a purchase and provide a notice to the member. This will need to include interest saved amounts.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



006.104	Buybacks (Service Purchases)	Reports, Forms & Letters	<p>The system will provide the capability to generate a member's buyback statement showing, at a minimum, the following information:</p> <ul style="list-style-type: none"> • Total Contract Amount • Total Basic Contributions • Total COLA Contributions • Total Service Purchased • Member Number • Name • Address • Contract Number • Payments Made • Balance • Plan/tier to be credited • Installment interest • Type of service being purchased • Principle and Interest 	2
006.105	Buybacks (Service Purchases)	System Data	<p>The system will provide the capability to update or revise an existing buyback contract for purchase of a specific period (or periods) of service that has expired, for example to update the payment plan duration or to recalculate the contract. In such cases, the purchase service contract number may be reused with proper version or revision indicators.</p>	1
006.106	Buybacks (Service Purchases)	Reports, Forms & Letters	<p>The system will provide the capability to generate a purchase of service credit worksheet and service contract based on the data that exists within the system using the parameters selected by the SCERS user.</p>	1
006.107	Buybacks (Service Purchases)	Usability	<p>The system will provide the capability to override or add previous membership information by an authorized SCERS user with appropriate security.</p>	2
006.108	Buybacks (Service Purchases)	Usability	<p>The system will provide the capability to generate a warning to staff if member would not be eligible to purchase service credit.</p>	2
006.109	Buybacks (Service Purchases)	Eligibility	<p>The system will provide the capability to maintain eligibility parameters and business rules for calculating each type of service purchase without the need for programming changes.</p>	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



006.110	Buybacks (Service Purchases)	Eligibility	The system will provide the capability to determine a member's eligibility to purchase service time by comparing the member's record against the eligibility parameters for the type of service purchase selected.	2
006.111	Buybacks (Service Purchases)	Usability	The system will provide the capability to base service calculations on the service time equivalency selected by the SCERS user. Options to include, but not be limited to: <ul style="list-style-type: none"> • Hours • Months to five decimals • Years to five decimals 	2
006.112	Buybacks (Service Purchases)	Benefit Calculation	The system will provide the capability to accurately calculate a purchase of service that includes time split between multiple plans, contribution rates and service time.	2
006.113	Buybacks (Service Purchases)	Refunds & Benefit Payments	The system will provide the capability to generate reimbursement of overpayment on a service purchase contract, or in the event of cancellation of a service purchase contract and amount of service purchased if applicable.	2
006.114	Buybacks (Service Purchases)	Taxation	The system will provide the capability to calculate early payoff of a pre-tax service purchase contract, by adjusting the interest factor and recalculating the amount due.	2
006.115	Buybacks (Service Purchases)	Usability	The system will provide the capability to SCERS user to overwrite payment amounts, or the number of payment installments on service purchase worksheets.	2
006.116	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability to view and print service purchase reports, including: <ul style="list-style-type: none"> • Detailed report for an individual member. • Detailed report of all Active (outstanding) service purchase agreements. • Detailed report of members with a remaining balance due after the allowable number of payments have been posted or upon entering Termination status. 	2
006.117	Buybacks (Service Purchases)	Service Data	The system will provide the capability for the member to keep what is paid for if the member retires, terminates or dies prior to completing the purchase of service credit, and pays off the rest of the contract in lump sum payment.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



006.118	Buybacks (Service Purchases)	Benefit Calculation	The system will provide the capability to compute member's future retirement benefit attributable to the time purchased, and to display the result on screen, and on a service purchase worksheet.	2
006.119	Buybacks (Service Purchases)	System Data	The system will provide the capability to define eligible service agencies in the system for any type of purchase.	1
006.120	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability for the service purchase calculator to issue a service purchase worksheet. The worksheet will display all critical calculations and payment plan amounts.	2
006.121	Buybacks (Service Purchases)	System Data	The system will provide the capability for SCERS to upload previous purchase calculations that are in a consistent Excel format.	2
006.122	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability to generate a report for members that have payments made during a payroll cycle for a receivable that has already been cleared.	1
006.123	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability to notify employers when a member elects to pay for a purchase through payroll deductions.	1
006.124	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability to generate a Balance Due letter for a member that makes a partial lump sum payment for a purchase.	1
006.125	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability to accommodate the calculation of service purchases based on SCERS specified criteria and factors	1
006.126	Buybacks (Service Purchases)	System Data	The system will provide for the ability for SCERS to add new purchase types as specified by CERL and/or is adopted by the Board of Supervisors or the SCERS Board of Retirement.	1
006.127	Buybacks (Service Purchases)	Reports, Forms & Letters	The system will provide the capability for SCERS to specify a default Board Interest crediting rate for Service Purchase contracts.	1
007.001	COLA/Special COLA	Eligibility	The system will not apply annual COLA increases or a Special COLA to be calculated and paid to benefit recipients with only Tier 2	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



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007.002	COLA/Special COLA	Eligibility	The system will not apply COLA increases or allow a Special COLA to be calculated and paid to a benefit recipient's Supplemental Disability Allowance benefit.	1
007.003	COLA/Special COLA	Eligibility	The system will provide the capability for authorized SCERS staff to override the application of Special COLAs as they see fit.	1
007.004	COLA/Special COLA	Workflow & Case Management	The system will alert a SCERS user with an error message if a SCERS user attempts to manually apply a COLA increase or a Special COLA to a benefit recipient with Tier 2 service.	2
007.005	COLA/Special COLA	Workflow & Case Management	The system will alert a SCERS user with an error message if a SCERS user attempts to manually apply a COLA increase or a Special COLA to a benefit recipient receiving Supplemental Disability Allowance pay.	2
007.006	COLA/Special COLA	Cyclical batch	The system will provide the capability to automate the administration of the COLA bank.	1
007.007	COLA/Special COLA	Workflow & Case Management	The system will provide the capability to add or subtract from the COLA bank, without a minimum or maximum, to accommodate any change in the annual CPI that is more than the tier maximum and to be used in future years to provide a COLA increase when the annual CPI is less than the COLA maximum	2
007.008	COLA/Special COLA	Benefit Calculation	The system will not allow the reduction of a benefit recipient's monthly benefit below the amount that was paying prior to the application of the current years COLA, even if the COLA amount is negative, unless specified by authorized by SCERS staff.	2
007.009	COLA/Special COLA	Workflow & Case Management	The system will provide the capability to allow authorized SCERS users to make manual entries in the COLA bank, when necessary.	2
007.010	COLA/Special COLA	Benefit Calculation	The system will apply COLA increases only to the portion of the benefit recipient's benefits attributable to Tiers designated by SCERS as eligible to receive COLA increases.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



007.011	COLA/Special COLA	Workflow & Case Management	The system will alert a SCERS user with an alert message if a SCERS user attempts to manually apply a COLA balance to a benefit recipient with Tier 2 service in combination with other Tier service.	2
007.012	COLA/Special COLA	Cyclical batch	The system will provide the capability to differentiate taxable disability benefits from non-taxable disability benefits on new benefit recipient accounts.	1
007.013	COLA/Special COLA	Cyclical batch	The system will provide the capability to differentiate taxable disability benefits from non-taxable disability benefits on existing benefit recipient accounts.	1
007.014	COLA/Special COLA	Cyclical batch	The system will apply a non-taxable COLA adjustment to non-taxable disability benefits.	1
007.015	COLA/Special COLA	Cyclical batch	The system will apply a taxable COLA adjustment to taxable disability benefits.	1
007.016	COLA/Special COLA	Eligibility	The system will not apply the COLA effective 4/1/20XX to any benefit recipient whose retirement date is 4/1/20XX or later.	1
007.017	COLA/Special COLA	Usability	The system will provide the capability to apply a COLA percentage manually as part of a New Retiree Benefit Set-up to accommodate those new benefit recipients that are established in the system after April 1, but with an eligible retirement date of March 31 or earlier.	2
007.018	COLA/Special COLA	System Data	The system will allow an authorized administrator to change the maximum allowable annual COLA from the plan/tier maximum to another percentage if the legal limit is changed.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



007.019	COLA/Special COLA	System Data	The system will provide the capability to apply different minimum and maximum annual COLA amounts to different benefit recipient tiers and classifications based on the following: 1. Miscellaneous Tier 1 COLA Max 4% 2. Miscellaneous Tier 2 COLA Max 0% 3. Miscellaneous Tier 3 COLA Max 2% 4. Miscellaneous Tier 4 COLA Max 2% 5. Miscellaneous Tier 5 COLA Max 2% 6. Safety Tier 1 COLA Max 4% 7. Safety Tier 2 COLA Max 2% 8. Safety Tier 3 COLA Max 2% 9. Safety Tier 4 COLA Max 2%	1
007.020	COLA/Special COLA	Usability	The system will provide the ability for SCERS staff to apply a Special COLA that is in addition to or in place of the normal COLA if it is approved by the Board of Retirement.	2
007.021	COLA/Special COLA	Usability	The system will allow the SCERS user to manually override the system-calculated Special COLA applicable to a payee to account for special circumstances.	2
007.022	COLA/Special COLA	Workflow & Case Management	The system will provide the capability to manually override Special COLA calculations on all eligible accounts.	2
007.023	COLA/Special COLA	Workflow & Case Management	The system will provide the capability to manually override/correct the effective date of the Special COLA.	2
007.024	COLA/Special COLA	Reports, Forms & Letters	The system will provide the capability for SCERS to review the Special COLA calculation results through a "trial run" before electing to either delete the "trial run" or post the adjustment transactions to the payees' accounts.	2
007.025	COLA/Special COLA	Reports, Forms & Letters	The system will retain record of the Special COLA Results Report that can be recalled, viewed, saved, exported, and printed.	2
007.026	COLA/Special COLA	Cyclical batch	The system will provide the capability to automate the calculation of COLA adjustments for conversions from service retirement to non-service connected disability retirement.	1
007.027	COLA/Special COLA	Cyclical batch	The system will provide the capability to automate the calculation of COLA adjustments for conversions from service retirement to	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			service-connected disability retirement.	
007.028	COLA/Special COLA	Cyclical batch	The system will provide the ability to automatically calculate COLAs retroactively for benefit recipients that have a change in plan/tier that would impact the COLAs applied.	2
007.029	COLA/Special COLA	Cyclical batch	The system will provide the capability to automate the recalculation of the applied COLA amounts when a change is made to the base amount of a benefit recipient's benefit.	2
007.030	COLA/Special COLA	Usability	The system will provide the capability for staff to manually override COLA adjustment calculations on individual eligible accounts.	1
007.031	COLA/Special COLA	Cyclical batch	The system will provide the capability for staff to apply COLA adjustments.	1
007.032	COLA/Special COLA	Usability	The system will provide the capability to manually override the effective date of the increase resulting from the COLA adjustment.	1
007.033	COLA/Special COLA	Usability	The system will provide the capability for SCERS to review the COLA adjustment calculation results prior to the system applying adjustment transactions to the benefit recipient's accounts.	1
007.034	COLA/Special COLA	System Data	The system will provide the capability for SCERS to upload COLA rates for multiple different plans/tiers.	1
007.035	COLA/Special COLA	System Data	The system will provide the capability to import the existing COLA bank data currently residing with SCERS to use as a starting point for maintaining future COLA bank.	1
007.036	COLA/Special COLA	Reports, Forms & Letters	The system will retain and make available to view and print a history of each year's applied Special COLA.	2
007.037	COLA/Special COLA	Reports, Forms & Letters	The system will provide the capability for SCERS to review the COLA calculation results through a "trial run" before electing to either delete the "trial run" or post the adjustment transactions to the payees' accounts.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



007.038	COLA/Special COLA	Reports, Forms & Letters	<p>The system will generate a COLA Results Report containing detailed information about the application of the current year COLA to payee accounts and summations of that data. The COLA Results Report will contain, at a minimum, the following information:</p> <ul style="list-style-type: none"> • Retirement Date • Payee SSN • Payee Name • COLA Code • Base Benefit Payment • COLA Percentage • Previous COLA Amount • COLA Increase • New COLA Amount • Start Date • Date Calculated <p>Summary data will include:</p> <ul style="list-style-type: none"> • Sums of all currency data, including, • Total New Benefit • Total COLA amount • Growth Percentage/Dollar value <p>Payee count by:</p> <ul style="list-style-type: none"> • Retirement date range • Percent COLA increase received 	2
007.039	COLA/Special COLA	Reports, Forms & Letters	The system will retain record of the COLA Results Report that can be recalled, viewed, saved, exported, and printed.	2
007.040	COLA/Special COLA	Reports, Forms & Letters	The system will retain and make available to view and print a history of each year's applied COLA by benefit recipient and globally.	2
007.041	COLA/Special COLA	Batch Processing	The system will apply a taxable COLA to taxable service connected disability benefits.	2
007.042	COLA/Special COLA	Batch Processing	The system will apply a non-taxable COLA to non-taxable service connected disability benefits.	2
007.043	COLA/Special COLA	Batch Processing	The system will provide capabilities to automate the calculation and application of COLA on a benefit recipients' retirement benefits, as approved by the Board of Retirement.	2
007.044	COLA/Special COLA	Batch Processing	The system will apply the COLA to the base retirement benefit amount, including previous accumulated COLA amounts.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



007.045	COLA/Special COLA	Benefit Calculation	The system will provide the capability to limit the Special COLA to a maximum amount as set by SCERS.	1
007.046	COLA/Special COLA	System Data	The system will allow an authorized administrator to change the maximum allowable Special COLA amount as needed.	1
007.047	COLA/Special COLA	Eligibility	The system will allow SCERS to designate and change the eligibility of any Tier to receive COLA increases.	1
007.048	COLA/Special COLA	System Data	The system will provide the capability for authorized SCERS staff to adjust the maximum COLA amounts for each plan and tier as needed.	2
007.049	COLA/Special COLA	Usability	The system will provide the capability for SCERS staff to mark an account as ineligible to receive a COLA when needed. For instance, in a situation where an ex-spouse is receiving a benefit but is ineligible to receive a COLA per a DRO.	2
007.050	COLA/Special COLA	Reports, Forms, & Letters	The system will provide the capability to generate a report of the COLA bank for SCERS.	2
008.001	Counseling	Person Data	The system will provide for the capture and use of information for a designated and confirmed Power of Attorney or Conservatorship to represent the member or other payee.	1
008.002	Counseling	Person Data	The system will allow a SCERS user to designate whether or not correspondence should be sent to the member's mailing address, to the Power of Attorney address, or both during the effective period of the Power of Attorney.	1
008.003	Counseling	Person Data	The system will alert the SCERS user when a Power of Attorney or Conservatorship on file has reached the end of its effective period and will automatically revert any correspondence address designation back to the member/benefit recipient's mailing address if it was previously designated to go to the Power of Attorney or Conservatorship.	1
008.004	Counseling	Person Data	The system will provide the capability to view current and historic Power of Attorney or Conservatorship information.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



008.005	Counseling	Person Data	The system will provide a visible indicator to the SCERS user on a primary member/benefit recipient information screen when an active Power of Attorney or Conservatorship is on file for a member/benefit recipient.	1
008.006	Counseling	Person Data	The system will allow the SCERS user to input relevant information regarding the individual(s) being granted Power of Attorney or Conservatorship. This information may include the following examples: <ul style="list-style-type: none"> • Name • Company (such as a law firm, if applicable) • Social Security Number • Mailing Address • Telephone Number • Agent(s) specific powers • Durable or non-durable • Specific or general powers • Effective beginning and end dates of Power of Attorney or Conservatorship 	1
008.007	Counseling	Reports, Forms & Letters	The system will allow the SCERS user to generate correspondence to the member/benefit recipient or associated payee and agent(s) indicating that a Power of Attorney or Conservatorship submittal has been rejected or approved.	2
008.008	Counseling	Reports, Forms & Letters	The system will allow the SCERS user to generate correspondence to the member/benefit recipient and agent(s) indicating that additional information or action is needed before a Power of Attorney or Conservatorship can be approved.	2
008.009	Counseling	Security	The system will provide the capability to notate attempts by unauthorized persons to obtain information or conduct transactions on a member/benefit recipient account.	1
008.010	Counseling	Workflow and Case Management	The system will provide the ability to track, update, and display the status of a Power of Attorney or Conservatorship submittal (approved, rejected, pending, and revoked).	2
008.011	Counseling	Workflow & Case Management	The system will provide the ability to accept or reject a Power of Attorney or Conservatorship submittal or to pend acceptance or denial while awaiting further information.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



008.012	Counseling	Security	The system will provide the SCERS user, when the counseling workflow functionality is launched, with a reminder message that the member's identity must be verified and a brief sample of member information that can be verbally verified by the member before proceeding, such as last four digits of social security number, address, and home phone number. If the member is deceased, the reminder message will include beneficiary information for verification. If an approved Power of Attorney or Conservatorship is on file, the reminder message will include Power of Attorney or Conservatorship information for verification.	1
008.013	Counseling	Benefit Estimate	The system will provide the capability to suggest retirement dates and other strategies, at the SCERS user's request, to maximize the member's retirement benefit, given all the information that the system knows about the member.	1
008.014	Counseling	Purchase of Service	The system will examine the member's service history for possible service gaps and infer whether a service purchase would be a strategy for the member to maximize retirement benefit. If appropriate, the system will present the purchase strategies and their associated costs.	2
008.015	Counseling	Person Data	The system will provide the capability for the SCERS user to write file notes for topics that were discussed in the counseling session, and then to access the notes from the system in the context of the member's account.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



008.016	Counseling	Person Data	<p>The system will provide a counseling module or workflow for use in conducting counseling meetings. The counseling workflow functionality will provide the SCERS user with information summary screens that can be easily shared with and understood by a member being counseled. Such summary screen(s) may include the following:</p> <ul style="list-style-type: none"> • Member demographic information • Service credit • Vested status • Final average salary • Years in the retirement system • Reciprocity status, if any • Earliest eligible retirement date • Benefit Estimate results • Gaps in service (buyback opportunities) • Buyback contract payments and outstanding balances • Employee paid contributions and interest on account • Beneficiaries • DRO status, if any (incomplete/complete) • Available death benefits • Available disability benefits <p>The counseling workflow functionality will also include a static navigation bar allowing the SCERS user to quickly change from one information summary screen to another or to quickly access functionality such as benefit estimate tools, refund estimators, and buyback cost calculators for the purpose of quickly providing information to a member in an active counseling meeting.</p>	1
008.017	Counseling	Reports, Forms & Letters	<p>The system will provide the capability to track and report on deferred members who become eligible for retirement for counseling purposes.</p>	2
008.018	Counseling	Forms & Letters	<p>The system will provide the capability to automatically generate letters informing deferred members of their eligibility to retire.</p>	2
008.019	Counseling	Reports, Forms & Letters	<p>The system will provide the capability for the SCERS user to generate one or more topic-specific (e.g. Disability, Service Retirement, etc.) checklists to aid in planning and executing counseling sessions.</p>	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



008.020	Counseling	Reports, Forms & Letters	The system will provide the capability for the SCERS user to generate a follow-up correspondence letter to restate any important points that were discussed in the session.	2
008.021	Counseling	Reports, Forms & Letters	The system will provide capabilities to allow SCERS to identify, on an ongoing basis, members that may require counseling due to achievement of milestones in the retirement system for the purpose of proactively contacting these members. For example, such members may include: <ul style="list-style-type: none"> • Members achieving 30 years of retirement service credit • Members whose estimated retirement benefit will be 100% of their current working salary • Members who have achieved 10 years in the retirement system • The system will provide tools such as reports with flexible inputs, automatic reminders, or other alerting mechanisms to identify these members. • Members reaching age 70 	2
008.022	Counseling	Workflow & Case Management	The system will provide an integrated and customizable scheduling calendar for all benefits staff whose role involves counseling. The scheduling calendar will be accessible by any staff role permitted to schedule Counseling sessions.	2
008.023	Counseling	Workflow & Case Management	The system will provide the capability to allow members to schedule Counseling appointments via the member self-service portal by selecting from available times on the benefits staff scheduling calendars.	2
008.024	Counseling	Workflow & Case Management	The system will provide tools, reports, scheduling, and other capabilities to assist SCERS in preparing for counseling sessions and to assist members in retirement decisions.	2
009.001	Death Processing	Person Data	The system will provide the capability to review the deceased's records at SCERS in support of processing the death.	1
009.002	Death Processing	Person Data	The system will provide the capability to determine the deceased's status with SCERS.	1
009.003	Death Processing	Person Data	The system will provide the capability to record the deceased's date of death.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



009.004	Death Processing	Person Data	The system will provide the capability to record the initial source through which SCERS was notified regarding a death.	1
009.005	Death Processing	Person Data	The system will provide the capability to mark an individual as deceased.	1
009.006	Death Processing	Workflow & Case Management	The system will provide the capability to initiate death processing based on the member/benefit recipient's status within SCERS.	2
009.007	Death Processing	Workflow & Case Management	The system will provide the capability to initiate death processing on a benefit recipient within SCERS.	2
009.008	Death Processing	Person Data	The system will provide the capability to record the type of document used to confirm a death.	1
009.009	Death Processing	Eligibility	The system will not permit distribution of a deceased member/benefit recipient's account to eligible claimant and survivor beneficiaries unless the benefit recipient has been designated as deceased in the system.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



009.010	Death Processing	Workflow & Case Management	<p>The system will provide context-aware workflow for processing the death of benefit recipient. This workflow will include, at a minimum, the steps listed below:</p> <p>Information from system that may be required to process the final payment (if applicable):</p> <ul style="list-style-type: none"> • Member/ benefit recipient name • Member/ benefit recipient SSN or ID number • Membership Type (Safety, Miscellaneous, tier) • Calculation of benefit amount • Membership Status • Affidavit • Date of death • Survivor/Claimant name • Survivor/Claimant SSN • Relationship • Phone number of Survivor • Survivor/Claimant address • Distribution Election form/option form • Copy of Certified Marriage certificate. (SCERS will not process the benefit until after it receives a copy of certified Marriage Certificate.) • Copy of Survivor/Beneficiary Certified Birth Certificate • Copy of Certified Death certificate • Guardianship papers, if applicable, and blocked account documentation, if so ordered by the Courts to be placed in a blocked account. • Copy of minor's certified Birth Certificate (if Survivor is a minor) • Copy of survivor's certified Birth Certificate, if applicable • CA Domestic Partner registration, if applicable • Divorce documents (MSA judgement, DRO, etc.) • Trust/Estate documents 	2
009.011	Death Processing	Usability	<p>The system will provide the ability for SCERS staff to override any of the required documents needed to process death benefits.</p>	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



009.012	Death Processing	Benefit Payments & Refunds	The system will, if the deceased active Miscellaneous or Safety member was not vested, split the death benefit allowance consisting of the employee's paid contributions and accumulated interest plus one-month salary for each full year of service completed, up to a maximum of six months of salary, among the designated beneficiaries. If there are no beneficiaries documented, the system will make the payment to the member's Estate.	1
009.013	Death Processing	Benefit Payments & Refunds	The system will provide the capability to manually override calculations and other values associated with processing an Active member death to accommodate special circumstances.	1
009.014	Death Processing	Benefit Payments & Refunds	The system will calculate the Basic Death Benefit available to the survivors of an Active deceased member as follows: The employee's paid contributions and all accumulated interest, plus one month's salary for each full year of service completed up to a maximum of six months' salary (no greater than 50% of member's one year final compensation).	1
009.015	Death Processing	Benefit Payments & Refunds	The system will, for the eligible surviving spouse of a Miscellaneous member's service-connected death, calculate a continuing monthly benefit equal to 100% of either a service-connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. Service-connected continuing benefit is based only on the final compensation of the deceased member.	1
009.016	Death Processing	Workflow & Case Management	The system will provide workflows to assist in the collection of required documentation when the deceased was the spouse of an active deceased member with minor children: <ul style="list-style-type: none"> • Guardianship papers, if applicable • Letter of guardianship of the minor child's Estate • Direct Deposit form to the minors' blocked accounts, if so ordered by the Courts • Tax Withholding • Copy of certified Death Certificate the deceased 	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			Copy of certified Birth Certificate of the minor child(ren)	
009.017	Death Processing	Benefit Payments & Refunds	<p>The system will, if the active Miscellaneous or Safety member who has died of a non-service-connected cause had at least five years of service (excluding any ineligible service), provide the capability for the member's surviving spouse or RDP to elect to receive one of the three benefits listed below, or the member's minor child(ren) will receive either of the first two benefits listed below as elected by the guardian of the child(ren):</p> <ul style="list-style-type: none"> • Basic death benefit as described above. • Continuing monthly benefit equal to 60% of either a non-service-connected disability retirement allowance or a service retirement allowance (provided the member met the requirements for retirement prior to death) whichever is greater. (Note: The calculation of the non-service-connected disability allowance and service retirement allowance are described in the 05-Benefit Estimates process document.) • Basic death benefit plus a continuing monthly benefit that is reduced by an amount calculated by the Actuary. 	1
009.018	Death Processing	Benefit Payments & Refunds	The system will provide the ability for SCERS staff to modify a benefit based on an assignment to an alternate payee per a court order.	1
009.019	Death Processing	Benefit Data	The system will provide the capability to designate a death of an active Miscellaneous or Safety member as service-connected.	1
009.020	Death Processing	Benefit Data	The system will provide the capability to designate a death of an active Miscellaneous or Safety member as non-service-connected.	1
009.021	Death Processing	Benefit Data	The system will provide the capability to designate a death of an active Safety member as an in line-of-duty, service connected death .	1
009.022	Death Processing	Benefit Payments & Refunds	The system will provide the capability to pay an eligible claimant/survivor beneficiary a one-time death benefit and/or a continuing benefit following the death of an active member.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



009.023	Death Processing	Benefit Payments & Refunds	The system will provide the capability to pay on behalf of multiple eligible minor children a continuing monthly benefit equal to 100% of the eligible continuance.	2
009.024	Death Processing	Benefit Payments & Refunds	The system will provide the capability to pay each eligible minor child the continuing benefits up to age 18 or age 22 as long as the child remains a full time student (in an accredited school) and unmarried.	2
009.025	Death Processing	Benefit Payments & Refunds	The system will, if so ordered by the Court, issue payments to a minor child to a blocked deposit account that is under control of Court until the child reaches age 18.	2
009.026	Death Processing	Benefit Payments & Refunds	The system will provide the capability to pay the surviving spouse of an active Miscellaneous or Safety member who died a service-connected death one of the three benefits listed below: <ul style="list-style-type: none"> • The Basic death benefit. • A continuing monthly benefit equal to 100% of either a service-connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. • The salary death benefit plus a reduced continuing monthly benefit, as calculated by the Actuary. 	2
009.027	Death Processing	Benefit Payments & Refunds	The system will, where there is no surviving spouse, provide the capability to allow the surviving minor child(ren) of a member who died of a service-connected death to receive the benefits listed below: <ul style="list-style-type: none"> • The Basic death benefit. • A continuing monthly benefit equal to 100% of either a service-connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. 	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



009.028	Death Processing	Eligibility	<p>The system will enforce the following rules regarding survivor eligibility.</p> <ul style="list-style-type: none"> • A spouse or Registered Domestic Partner of the member. • A minor child eligible to receive a survivor benefit is an unmarried child (natural or adopted child of the deceased member) under the age of 18. The benefit can be extended until the child turns 22 provided the child remains unmarried and is regularly enrolled as a full-time student in an accredited school, as determined by the Board of Retirement. While the benefit technically is payable to the minor child, the payment is made “on behalf of” the minor to the Guardian of the child. Once the child turns 18, the check is made payable to the child. • When there are multiple children, the guardian must select the same benefit option for all the children. Note that in this scenario, the entire benefit is due to the child or children until the point at which all the children are no longer eligible. For example, if there are two children, and both are eligible for the benefit, the benefit is split between the two children. When one of the children becomes ineligible, the other would receive 100% of the benefit, rather than just 50%. • If there is an eligible spouse at the time of member’s death, he/she will receive the continuance until they die. The continuance will then continue on to a minor child if there is one. <p>Effective January 1, 2004, persons meeting the requirements established under Family Code 297, etc. (Registered Domestic Partners) of the California statues are provided the same benefits as a spouse. Thus, anytime the word “spouse” is used it also means “registered domestic partner”.</p>	2
009.029	Death Processing	Eligibility	<p>The system will assist SCERS staff in determining eligibility of the spouse or minor children who survive a member’s death to receive a continuing benefit.</p> <p>The term “minor child(ren)” refers to biological or adopted children. Biological and adopted children do not have to be domiciled with the member.</p>	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



009.030	Death Processing	Eligibility	The system will provide a capability to track each minor child's age and alert SCERS to check the child's eligibility for continuing allowances as the child's 18 th birthday approaches. Benefits may continue if the child enrolls full-time in an accredited school.	1
009.031	Death Processing	Eligibility	The system will provide a capability to track each eligible minor child's age beyond the age of 18 and alert SCERS to check the child's school enrollment status and marital status each semester until child reaches age 22.	1
009.032	Death Processing	Eligibility	The system will provide the capability to stop the continuance to a minor child when the child becomes ineligible at age 18 or, if enrolled in an accredited school, until enrollment ceases or the child turns age 22.	1
009.033	Death Processing	Eligibility	The system will enforce the rule that an ex-spouse has no right to the minor child benefit. Except in the situation where the ex-spouse is named the guardian by the Court.	1
009.034	Death Processing	Benefit Payments & Refunds	The system will, when calculating a continuance benefit following death of an active member, use reciprocal salary (if applicable) in the calculation of the benefit.	1
009.035	Death Processing	Benefit Data	The system will provide the capability to designate a death of an active Safety member as in line-of-duty, service connected death .	1
009.036	Death Processing	Benefit Payments & Refunds	The system will, in the case of an in line-of-duty, service connected death where the surviving spouse is receiving the monthly benefit, also provide the capability to pay any guardian of minor children an additional monthly benefits as listed below: <ul style="list-style-type: none"> • 1 child – 25% • 2 children – 40% • 3 or more children – 50% These percentages of the monthly allowance are adjusted as children become ineligible with age.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



009.037	Death Processing	Benefit Payments & Refunds	The system will, in the case of an in line-of-duty, service connected death, provide the capability to pay the benefits listed below: 1. Lump Sum payment that is equivalent to a years' worth of the member salary and is based on the most recent paycheck x 26.1. 2. A continuing monthly benefit equal to 100% of either a service-connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. Service-connected Burial Allowance is based on final compensation only.	2
009.038	Death Processing	Benefit Payments & Refunds	The system will, if the active, deceased member was vested but not married and had no minor children, split and pay to beneficiaries on file a lump sum distribution of deceased member's Basic Death Benefit. If the beneficiaries are not documented, the system will make the payment to the member's Estate.	2
009.039	Death Processing	Benefit Payments & Refunds	The system will provide the capability to apportion the deceased deferred employee's paid contributions plus accumulated interest to survivor and/or beneficiaries. The sum of the payments will not exceed 100% of the total benefit.	1
009.040	Death Processing	Benefit Payments & Refunds	The system will provide the capability to distribute benefits payable to an alternate payee of a deceased non-vested deferred member per the DRO.	1
009.041	Death Processing	Benefit Payments & Refunds	The system will provide the capability to enforce the rules applicable to active member death when a deferred member died while active at a reciprocal agency with which reciprocity was established.	1
009.042	Death Processing	Benefit Data	The system will provide manual override capability on all data fields relevant to process deferred member deaths.	1
009.043	Death Processing	Benefit Payments & Refunds	The system will pay the deceased deferred employee's paid contributions plus accumulated interest to the member's Estate, if there are no survivors/beneficiaries.	2
009.044	Death Processing	Person Data	The system will provide the capability to determine the deferred member's plan	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			(Miscellaneous or Safety).	
009.045	Death Processing	Person Data	The system will provide the capability to alert SCERS when a SCERS specified time period has passed since the last communication with the member's survivors/beneficiaries.	1
009.046	Death Processing	Person Data	The system will alert a SCERS user processing death of a deferred member if the member has established either incoming or outgoing reciprocity.	1
009.047	Death Processing	Reports, Forms & Letters	The system will provide the capability to tailor the content of the death processing workflows for deferred members.	2
009.048	Death Processing	Reports, Forms & Letters	The system will provide the capability for the SCERS user to generate a letter to a reciprocal system in cases where outgoing reciprocity has been established.	2
009.049	Death Processing	Reports, Forms & Letters	The system will provide the capability to modify the contents of the letter to reciprocal agencies to account for special circumstances.	2
009.050	Death Processing	Workflow & Case Management	The system will provide the capability to process the death of a deferred member.	2
009.051	Death Processing	Workflow & Case Management	The system will provide manual override capability on all data fields relevant to process deferred member deaths.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



009.052	Death Processing	Workflow & Case Management	<p>The system will provide context-aware workflow for processing the death of a deferred member. This workflow will include, at a minimum, the items listed below:</p> <p>Information from system required to process benefit:</p> <ul style="list-style-type: none"> • Member/payee name • Member/payee SSN • Membership Type (Safety, Miscellaneous) • Calculation of benefit amount • Membership Status <p>Information needed from claimant/survivor beneficiary if not already present:</p> <ul style="list-style-type: none"> • Date of death • Beneficiary name • Beneficiary SSN • Relationship • Beneficiary address <p>Documents required from the claimant/survivor beneficiary:</p> <ul style="list-style-type: none"> • Guardianship papers, if applicable • Copy of certified Death Certificate • Copy of minor's certified Birth Certificate (if beneficiary is a minor) • Copy of beneficiary's certified Birth Certificate, if applicable • Copy of Marriage Certificate, if applicable • Copy of CA Domestic Partner registration, if applicable 	2
009.053	Death Processing	Benefit Payments & Refunds	<p>The system will provide the capability to notify SCERS staff when a member that has reciprocity is set to receive a benefit that is greater than 100% of the SCERS benefit.</p>	1
009.054	Death Processing	Benefit Payments & Refunds	<p>The system will, in the case of an Non-Member that hasn't elected retirement, provide the capability to pay the benefits listed below to eligible Claimant Beneficiaries:</p> <ul style="list-style-type: none"> • Return of all employee's paid contributions and accumulated interest 	1
009.055	Death Processing	Benefit Payments & Refunds	<p>The system will provide the capability to calculate final days' payment due to the deceased spouse's estate, the minor children's estate, or the deceased alternate payee's estate.</p>	1
009.056	Death Processing	Benefit Data	<p>The system will support management of existing Option 4 retirement elections with</p>	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			regard to death of alternate payee.	
009.057	Death Processing	Benefit Payments & Refunds	The system will provide the capability for SCERS to redirect payments (one-time and continuous) from a deceased alternate payee to the alternate payee beneficiaries, if specified in the DRO.	2
009.058	Death Processing	Benefit Payments & Refunds	If Option 4 was elected, the payment stream on behalf of the alternate payee ceases at the death of the alternate payee unless otherwise directed by a court order.	2
009.059	Death Processing	Benefit Payments & Refunds	The system will provide the capability to stop further monthly continuance payments upon the death of the current spouse unless the alternate payee is named as a beneficiary or the member elected Option 4 naming the alternate payee.	2
009.060	Death Processing	Benefit Payments & Refunds	The system will provide the capability to stop further monthly continuance benefits upon the death of the member's spouse/registered domestic partner, or upon death or ineligibility of minor children because of age or change in student/marital status, unless an alternate payee is named as a beneficiary or an Option 4 was selected naming the alternate payee.	2
009.061	Death Processing	Benefit Payments & Refunds	The system will provide the capability for SCERS to reclaim unclaimed benefits payable to deceased beneficiaries or their estates after 5 years.	2
009.062	Death Processing	Person Data	The system will provide the capability for SCERS to determine whether the alternate payee was a spouse, a spouse with minor children, an alternate payee from a DRO, or some other type of beneficiary.	1
009.063	Death Processing	Person Data	The system will provide the capability to link the deceased's name, and the names of minor children if any, to the account of the original member.	1
009.064	Death Processing	Workflow & Case Management	The system will provide the capability to process the death of an alternate payee.	2
009.065	Death Processing	Benefit Payments & Refunds	The system will, for eligible alternate payees, provide capability to split eligible benefits per the court order.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



009.066	Death Processing	Workflow & Case Management	<p>The system will provide workflows to assist in the collection of documents and information supporting the processing of an alternate payee's death:</p> <ul style="list-style-type: none"> • Payee name • Payee SSN • Membership Type (Safety, Miscellaneous) • Copy of certified Death Certificate of deceased alternate payee • Tax withholding information, if applicable <p>For the beneficiaries that will receive the alternate payees benefits, the following documents may be required:</p> <ul style="list-style-type: none"> • Member Affidavit • Tax forms • Copy of certified Birth Certificate for minor children • Direct Deposit • Guardianship documents, if applicable 	2
009.067	Death Processing	Usability	The system will provide SCERS staff the ability to override cancellation of an alternate payee's benefit upon the death of a member.	1
009.068	Death Processing	Benefit Payments & Refunds	The system will provide the capability for SCERS to modify Death Benefit payments & refunds without reprogramming the system.	1
009.069	Death Processing	Benefit Payments & Refunds	For Option 1, the system will provide the capability to change their beneficiary designation at any point in time.	1
009.070	Death Processing	Benefit Payments & Refunds	For an unmodified benefit and Options 2, 3, and 4, the system will provide the capability to change the beneficiary designation that will receive the accrued allowance if the named beneficiary predeceases the member.	1
009.071	Death Processing	Benefit Payments & Refunds	For Options 2, 3, and 4 the system will provide the capability to disallow the payment of an ongoing monthly allowance in cases where the chosen option beneficiary at retirement predeceases the member.	1
009.072	Death Processing	Benefit Payments & Refunds	For an unmodified benefit where the Survivor Beneficiary predeceases the member, the system will provide the capability to allow the lump sum payment of the remaining contributions and interest to a Claimant beneficiary.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



009.073	Death Processing	Benefit Payments & Refunds	The system will calculate accrued allowance payment as a proration of the deceased member/non-member's retirement benefit based on the number of days alive in the final month, including the date of death.	1
009.074	Death Processing	Benefit Payments & Refunds	The system will calculate taxability of payments to Claimant/Survivor beneficiaries properly. All SCERS death benefits are taxable except for a service-connected disability retired death, in which case a portion or all of the continuance and COLA is non-taxable. For service-connected disability retirement, the continuance payments to the eligible spouse, RDP, or minor children retain the same taxability as the retiree's taxability, whereas the continuance payments to alternate payees will be taxable. The Simplified General Rule may apply.	1
009.075	Death Processing	Benefit Payments & Refunds	The system will, if the deceased member's benefit included the Social Security Modification, calculate any continuance benefit based on the unmodified benefit amount for that option, thus excluding any adjustment for the Social Security Modification.	1
009.076	Death Processing	Benefit Payments & Refunds	The system will allow a continuance to be calculated only for a living person and paid only to a living person.	1
009.077	Death Processing	Benefit Payments & Refunds	The system will calculate the retired member/non-member's beneficiaries' benefits based on the Retirement Benefit Option that the member/non-member chose during retirement processing. Unmodified Option A 60% continuing monthly benefit to a designated beneficiary, surviving spouse or registered domestic partner. If the designated beneficiary has become a spouse or registered domestic partner within one year immediately preceding the member's retirement date the election must be flagged for SCERS' staff to review. A 100% continuing monthly benefit to the deceased member/non-member's surviving spouse/RDP, if the member was receiving a service-connected disability retirement allowance and the member was married when the member became disabled prior to the	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			<p>effective date of the SCDR.</p> <p>If the surviving spouse/RDP named as the Survivor Beneficiary at time of retirement predeceased the member/non-member, the continuing monthly benefit will be paid collectively to the member's minor children until the last child marries, reaches age 18 (age 22 if a full-time student in an accredited school) or dies, whichever comes first.</p> <p>If the member/non-member has no spouse/RDP or eligible minor children at the time of retirement, a continuing monthly benefit is not available. This option then provides for a lump sum payment to the member/non-member's named beneficiary or the member/non-member's Estate of any balance remaining from the member/non-member's accumulated regular contributions less the sum of all payments made to the member/non-member.</p> <p>If the member/non-member elected the Social Security Modification at retirement, the continuance will be based on the non-modified benefit and the Retirement Option selected.</p> <p>Option 1 A lump sum payment to the member/non-member's beneficiary of any balance remaining from the member/non-member's accumulated regular contributions less the sum of all annuity payments received by the member/non-member. Member/non-members can change beneficiary at any point in time</p> <p>Option 2 A 100% continuing monthly benefit to the member/non-member's named beneficiary who has insurable interest. If the non-spouse beneficiary is more than 10 years younger, IRS reduction applies.</p> <p>Option 3 A 50% continuing monthly benefit to the member/non-member's named beneficiary who has insurable interest.</p> <p>Option 4 A compound option elected at retirement.</p>	
009.078	Death Processing	Benefit Calculation	The system will provide the capability to calculate the continuance amount to the beneficiaries and will set up this Survivor Beneficiary through a structured workflow.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



009.079	Death Processing	Benefit Payments & Refunds	The system will provide the ability to transfer taxability rules/amount calculated under 'exempt from taxes' contributions to the Survivor Beneficiary upon the death of the retired member, if applicable.	1
009.080	Death Processing	Taxation	For spouses, the system will calculate the default minimum tax (if the benefits are not rolled over into an IRA or similar tax-deferred account) for lump sum payments such that death benefits are taxed at: <ul style="list-style-type: none"> • 20% for Federal tax • 2% for California state tax If the member is out of state, SCERS will not withhold the 2% California state tax unless the Survivor Beneficiary directs otherwise. The system will also provide the ability to input additional tax withholding amounts elected by the Survivor Beneficiary above the default minimum withholdings.	1
009.081	Death Processing	Taxation	For non-spouses, the system will calculate the default withholdings: a 10% Federal withholding that can be waived, and 0% CA taxes withheld.	1
009.082	Death Processing	Taxation	The system will properly calculate tax withholding on death benefit payments with regard to tax distribution rules for surviving spouses and non-spouse beneficiaries	1
009.083	Death Processing	Benefit Data	The system will validate that any payment made to an estate will require a tax identification number / estate identification number (SSN/TIN/EIN).	1
009.084	Death Processing	Benefit Data	The system will provide the ability to link benefit repayments (due to overpayments) back to specific benefit payroll records, in order to ensure payments are properly reconciled.	1
009.085	Death Processing	Benefit Payments & Refunds	The system will provide the capability for multiple beneficiaries to receive a portion of the accrued allowance payment, based on the percentage stated on the beneficiary form. The sum of the portions paid to multiple beneficiaries will not exceed 100% of the total amount.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



009.086	Death Processing	Benefit Payments & Refunds	<p>The system will provide context-aware workflows to assist in the collection of information and documents supporting the process of a retired member/non-member death.</p> <p>Information from system that may be required to process the final payment:</p> <ul style="list-style-type: none"> • Member/payee name • Member /payee SSN or ID number • Membership Type (Safety, Miscellaneous) • Type of Death Benefit <ul style="list-style-type: none"> o Option selected • Calculation of benefit amount • Membership Status (Retired) • Suspension of retiree payroll setup • Date of death <p>Information needed from Claimant/Survivor beneficiary(ies) if not already present:</p> <ul style="list-style-type: none"> • Date of death of retiree • Claimant/Survivor name • Claimant/Survivor SSN • Claimant/Survivor Relationship • Copy of Certified Birth Certificate of Survivor Beneficiary • Claimant/Survivor address • Claimant/Survivor date of birth <p>Documents that may be required from the Claimant/Survivor:</p> <ul style="list-style-type: none"> • Guardianship papers, if applicable • Letters of Guardianship, if any • POA, if applicable • Copy of certified Death Certificate • Copy of a minor's birth certificate (if beneficiary is a minor) • Copy of a beneficiary's birth certificate, if applicable • Copy of Marriage certificate • CA Domestic Partner registration, if applicable <p>Information provided to Claimant/Survivor beneficiary:</p> <ul style="list-style-type: none"> • Continuance Final Lump Sum Payment form • Direct deposit form, if there's a continuance • Federal and State Tax withholding forms for accrued allowance payment and in instances of a continuance • Request for certified Death Certificate • If no certified Marriage Certificate is on file, then a request for a copy of this document 	2
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Sacramento County Employees' Retirement System

RFP for Pension Administration System



			<ul style="list-style-type: none"> Request for a copy of certified Birth Certificate of the beneficiary(ies), if not on file 	
009.087	Death Processing	Benefit Payments & Refunds	The system will provide the capability to ensure the correct and timely payment of benefits due to the Claimant/Survivor Beneficiaries of a deceased retired member through a structured workflow process. The Member Portal will be used to allow for efficient upload/download of documents and the entry of information for any benefits.	2
009.088	Death Processing	Benefit Payments & Refunds	The system will provide the capability to administer the correct and timely return of any benefits overpaid to the deceased member. The system will create receivables to track benefit overpayments due and will allow the beneficiary / estate to return payment via the Member Web Portal. The beneficiary / authorized representative will be able to set up banking information to allow for repayment via EFT.	2
009.089	Death Processing	Benefit Payments & Refunds	The system will automatically suspend the recurring payment to a benefit recipient once a death date is entered.	2
009.090	Death Processing	Benefit Payments & Refunds	The system will provide the capability to administer the correct and timely payment of any benefits underpaid to the deceased benefit recipient.	2
009.091	Death Processing	Reports, Forms & Letters	The system will provide the capability to include the deceased retired member in a Death Report that also includes information on the deceased retired member's employer for the purposes of notifying an agency administering healthcare benefits.	2
009.092	Death Processing	Interfaces	The system must be able to create a "Dashboard" of deaths to be viewable by all SCERS users.	2
009.093	Death Processing	Workflow & Case Management	The system will allow SCERS staff to set up an authorized beneficiary/representative to utilize the Web Portal to upload required documents to the Web Portal and to enter other key data as needed to process benefits.	2
009.094	Death Processing	Workflow & Case Management	The system will provide the functionality for work queue reminders when requests for documents go unanswered.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



009.095	Death Processing	Workflow & Case Management	The system will provide the ability to reverse a death entered in error and to reinstate a retirement benefit for the benefit recipient. The system will be able to automatically compute amounts that were missed during months that the account was either terminated or suspended.	2
009.096	Death Processing	Usability	The system will provide the ability for SCERS staff to override the application of an IRS reduction in situations when the beneficiary is more than 10 years younger than the benefit recipient.	1
009.097	Death Processing	Benefit Payments & Refunds	The system will provide the ability to have deductions (if applicable) taken from the final check/prorate that is then is paid to a beneficiary. The deductions need to be reported to the correct vendor under benefit recipients ID.	1
009.098	Death Processing	Benefit Payments & Refunds	If deductions paid in advance are larger than any overpayment to benefit recipient, the system will provide the ability to pay the beneficiary the difference. The credit needs to be reported to the correct vendor under benefit recipients ID.	1
009.099	Death Processing	System Data	The system will provide the capability to modify eligibility requirements for survivor benefits as needed per CERL.	1
009.100	Death Processing	Benefit Payments & Refunds	The system will allow payment of a one-time \$4,000 Burial Allowance to be paid to a deceased retiree's designated beneficiary for the Burial Allowance.	2
009.101	Death Processing	Benefit Payments & Refunds	The system will not allow processing of the \$4,000 Burial Allowance while an overpayment amount exists on the deceased benefit recipient's account.	2
009.102	Death Processing	Benefit Payments & Refunds	The system will provide the ability for authorized SCERS staff to override the requirement for overpayments to be cleared as they see fit.	2
009.103	Death Processing	Usability	The system will provide the ability to override the Burial Allowance amount payable to a benefit recipient based on the amount being paid by an agency with which the benefit recipient had established outgoing reciprocity.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



009.104	Death Processing	Benefit Payments & Refunds	The system will provide the capability to offset any receivable owed to SCERS by a benefit recipient by benefits payable as specified by SCERS.	2
009.105	Death Processing	Benefit Payments & Refunds	The system will provide the capability to pay an accrued allowance that represents the benefit payable from the beginning of the month that a Survivor Beneficiary deceases up until the date of death.	1
009.106	Death Processing	Benefit Payments & Refunds	The system will, in the event of a Survivor Beneficiary death, prevent the payment of any remaining contributions and interest in a members account.	1
009.107	Death Processing	Benefit Payments & Refunds	If a Claimant Beneficiary post-deceases a member, the system will allow any eligible benefits that have not been paid out to that beneficiary to be paid to the Claimant's beneficiaries.	1
009.108	Death Processing	Benefit Payments & Refunds	The system will calculate taxable and non-taxable portions of benefits properly for payment of death benefits and will be able to calculate a secondary taxation rate for a portion of a benefit.	1
009.109	Death Processing	Usability	The system will provide the capability to manually override the calculated payment amounts to survivor/beneficiaries, along with other values, to accommodate special situations.	1
009.110	Death Processing	Benefit Payments & Refunds	The system will, if applicable, provide the capability to calculate and apply an adjustment to a refund of deceased member contributions and interest by the total amount of an overpayment made to a payee as a result of untimely death notification.	1
009.111	Death Processing	Benefit Payments & Refunds	The system will provide the capability to track overpayments made to benefit recipients as a result of untimely death notification.	2
009.112	Death Processing	Person Data	The system will allow the SCERS user to enter beneficiary information and associate the beneficiary with the member. If the beneficiary is another member, the system will allow this association as well.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



009.113	Death Processing	Reports, Forms & Letters	The system will provide the capability for SCERS users to generate letters to beneficiaries, spouses, and estate managers, as needed, to communicate regarding death of persons affiliated with SCERS membership.	2
009.114	Death Processing	Reports, Forms & Letters	The system will provide the capability to modify, as needed, death related letters generated in the system without need for reprogramming.	2
009.115	Death Processing	System Data	The system will consider "registered domestic partner" and "spouse" to be equal and synonymous for the purposes of processing a death, except for in cases of Option 2.	1
009.116	Death Processing	Workflow & Case Management	The system will provide context-aware workflows for processing the death of a member/benefit recipient. The content of the workflows will be appropriate to the member/benefit recipient's status, classification, marital status, and other information about the member/benefit recipient that may be contained in the system.	2
009.117	Death Processing	Workflow & Case Management	The system will provide the capability to tailor the content of the death processing workflows to accommodate changing rules and special circumstances.	2
009.118	Death Processing	Workflow & Case Management	The system will provide context-aware workflow, prompts, and other rules-based tools to assist SCERS staff in administering the death process. The system will use the Member Web Portal to allow for efficient communication and the sharing of documents between the beneficiary(ies) and the estate and SCERS.	2
009.119	Death Processing	Interface	The system will provide integration with Electronic Content Management to support efficient collection, retrieval, and examination of documents that support death processing.	2
009.120	Death Processing	Eligibility	The system will provide the ability for SCERS to pay to a beneficiary that comes forward as the successor to the member's estate with a Small Estate Affidavit.	2
009.121	Death Processing	Benefit Payments & Refunds	The system will provide the ability to adjust the maximum payable Burial Allowance without needing vendor intervention.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



009.122	Death Processing	Taxation	The system will generate a 1099R record for each distribution paid to the recipient of a SCERS benefit as a result of the death of an active member or benefit recipient.	1
009.123	Death Processing	Taxation	The system will update the YTD totals for 1099R purposes for payments that were processed after the death of a benefit recipient.	1
009.124	Death Processing	Taxation	The system will provide the capability to generate a corrected 1099R for a deceased member/benefit recipient when SCERS deems it necessary.	1
009.125	Death Processing	Workflow & Case Management	The system will provide the capability to require a SCERS user to enter a tracking number associated with communication through certified mail.	1
009.126	Death Processing	Workflow & Case Management	The system will have the ability to indicate receipt of a returned certified mail document.	1
009.127	Death Processing	Benefit Payments & Refunds	The system will calculate a continuance and the possible division thereof in the event of a benefit recipient's death.	1
009.128	Death Processing	Eligibility	If a death is for an Active-vested or a Service-Connected death, the system will provide the capability to pay benefits to a beneficiary with superior rights, regardless of the named beneficiary at time of death, per the following order: <ol style="list-style-type: none"> 1. Surviving Spouse 2. Minor Children 3. Named Beneficiary 4. Estate 	1
009.129	Death Processing	Integration File	The system will interface with the death match search service by producing a report or data file that can be transmitted to the death match search service electronically.	1
009.130	Death Processing	Integration File	The system will interface with the death match search service by allowing import of report data generated by the death match search service to help determine if persons in the system may be deceased.	1
009.131	Death Processing	Integration File	The system will provide the capability to specify the interval that this process will run per SCERS direction.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



010.001	Disability	Eligibility	<p>The system will provide the capability to record a member's basic qualifications to receive a non-service-connected disability benefit:</p> <ul style="list-style-type: none"> • The member must be permanently disabled and unable to perform the duties of the member's specific job; and • The member must have at least five years of service credit either in SCERS or combined between SCERS and reciprocal retirement systems 	1
010.002	Disability	Eligibility	<p>The system will provide the capability to record a member's basic qualifications to receive a service-connected disability benefit:</p> <ul style="list-style-type: none"> • The member must be permanently disabled and unable to perform the duties of the member's specific job; and • The member's disability must be the result of injury or disease arising out of and in the course of the member's employment and such employment must contribute substantially to the member's incapacity. 	1
010.003	Disability	Benefit Calculation	<p>The system will provide the capability to calculate the monthly non-service-connected disability benefit amount based on the following rules documented in Article 10 of the County Employees Retirement Law of 1937:</p> <ul style="list-style-type: none"> • Tier 1 Safety and Tier 1 Miscellaneous members: benefit is 1/3 of FAS • All other tiers: benefit is determined from a formula based on service credit and on a sliding scale maxing out at 40% FAS • If the member is eligible for service retirement, the disability benefit is equal to or greater than the service retirement benefit 	1
010.004	Disability	Benefit Calculation	<p>The system will provide the capability to calculate the monthly service-connected disability benefit amount based on the following rules documented in Article 10 of the County Employees Retirement Law of 1937:</p> <ul style="list-style-type: none"> • Benefit is the larger of 50% FAS or regular service retirement benefit 	1
010.005	Disability	Eligibility	<p>The system will provide the capability to provide an unmodified service-connected disability retirement for eligible applicants with a 100% joint survivor annuity option.</p>	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



010.006	Disability	Taxation	The system will provide the capability to calculate proper taxability on non-service-connected disability benefits per state regulations (generally non-service-connected benefits are taxable).	2
010.007	Disability	Taxation	The system will provide the capability to calculate proper taxability on non-service-connected disability benefits per federal regulations (generally non-service-connected benefits are taxable).	2
010.008	Disability	Taxation	The system will provide the capability to calculate proper taxability on service-connected disability benefits. Generally, for a service-connected disability: <ul style="list-style-type: none"> • If the benefit is one-half of FAS, the benefit is non-taxable • If the benefit is the member's service retirement allowance, up to one-half of FAS is non-taxable. 	1
010.009	Disability	Benefit Calculation	The system will provide the capability to provide a comparison between service retirement and disability retirement during disability application processing. This will involve performing a service retirement calculation in addition to the disability retirement calculation. If the service retirement benefit is greater, a flag will be raised to notify the SCERS user.	2
010.010	Disability	Benefit Data	The system will provide the capability to default the effective date of the disability benefit to either the date of receipt of the application or the day after the last day for which the member was compensated, whichever date is later, or to some other default date as determined by SCERS.	1
010.011	Disability	Benefit Data	The system will provide the capability to extend the effective date of the disability benefit for a member who has been granted sick leave by the duration of the sick leave period.	1
010.012	Disability	Benefit Data	The system will provide the capability for the SCERS user to specify the effective date of the disability benefit, overriding any default set by the system.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



010.013	Disability	Benefit Payment & Refunds	The system will not allow the SCERS user to set up a disability retirement benefit without verifying that, through use of a system flag or by requesting that the SCERS user make an active confirmation, a board decision has been made approving the member's application.	2
010.014	Disability	Benefit Payment & Refunds	The system will provide the capability to allow a member to retire on service (if eligible) and receive service retirement benefit payments, pending decision of a disability claim.	2
010.015	Disability	Benefit Payment & Refunds	The system will provide the capability to convert a member's retirement from service retirement to disability retirement when the disability claim is approved.	2
010.016	Disability	Benefit Calculation	The system will provide the capability to notify the SCERS user when a member is transitioning from service retirement to disability retirement if the new disability benefit is less than the current service retirement benefit.	2
010.017	Disability	Benefit Data	The system will provide the capability to change a member's retirement option during a conversion from service retirement to disability retirement only if the member applies for disability on or before the time they apply for service retirement.	1
010.018	Disability	Benefit Data	The system will provide the capability to default the effective date of the disability benefit to the date of conversion from service retirement to disability retirement (assuming the claim is approved and the member elected service retirement pending outcome of the claim) or to some other default date as determined by SCERS.	1
010.019	Disability	Person Data	The system will provide the capability to report a validation exception if contributing employer payroll transactions are received for members whose disability claim is pending and the member has elected to receive service retirement benefits.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



010.020	Disability	Person Data	The system will provide the capability to apply an advance disability payment flag to a member's account when a request is received from Workers' Compensation for the benefit amount to be used. The flag will indicate that a reimbursement may be needed if the disability application is approved. The flag can only be set for Safety members.	2
010.021	Disability	Benefit Calculation	The system will provide the ability to calculate a service-connected disability retirement estimate specifically for the purpose of providing an advance disability payment estimate and will, for this purpose, use the measuring period for the final average salary.	1
010.022	Disability	Benefit Data	The system will allow a SCERS user to input an advance disability payment reimbursement amount that the system will use to properly divide the member's retroactive benefit payments when a disability application is approved and benefits established.	1
010.023	Disability	Benefit Payments & Refunds	The system will provide the capability to split a new disability retiree's first retroactive payment between the retiree and Workers' Compensation in reimbursement of advance disability payments.	2
010.024	Disability	Benefit Payments & Refunds	The system will provide the capability to set up a payment plan for reimbursement of advance payments to Workers' Compensation upon the approval of a service-connected disability.	2
010.025	Disability	System Data	The system will not allow the SCERS user to set up a Supplemental Disability Allowance benefit without verifying that, through use of a system flag or by requesting that the SCERS user make an active confirmation, a board decision has been made approving the member's disability retirement application.	1
010.026	Disability	Benefit Calculation	The system will calculate the Supplemental Disability Allowance amount payable to a member as the difference between the member's current salary in his new position and the current salary that the member would have been earning in the former position, as input by a SCERS user.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



010.027	Disability	Benefit Calculation	The system will limit the amount of Supplemental Disability Allowance payable to a maximum of the unmodified disability benefit for which the member was approved.	1
010.028	Disability	Person Data	The system will allow the SCERS user to input, when establishing a Supplemental Disability Allowance and at each annual evaluation, the member's current salary in his new position and the current salary that the member would have been earning in the former position.	1
010.029	Disability	Workflow & Case Management	The system will automatically issue a work queue item annually on the effective date of a Supplemental Disability Allowance reminding the SCERS user to evaluate the member's wages and benefit amounts.	2
010.030	Disability	Workflow & Case Management	The system will launch a disability workflow when a disability retirement application is received in a member file. The workflow will provide automation in the form of checklists, calendars, calculations, and other tools to support the tracking of documents and events involved in processing a disability application.	2
010.031	Disability	Workflow & Case Management	The system will provide the capability for SCERS to set up important documents and events involved in disability claim processing and the default timeframes in which those events are due (as in due within 10 days of issue, etc.).	2
010.032	Disability	Workflow & Case Management	The system will provide the capability to issue reminders to SCERS's staff and members, where applicable, of approaching appointments and due dates on disability claim processing.	2
010.033	Disability	Workflow & Case Management	The system will provide the capability to alert SCERS when the member's work history involves reciprocity, as reciprocity is a factor in processing the disability claim.	2
010.034	Disability	Workflow & Case Management	The system will provide the capability to set a schedule for periodic medical re-examinations on the record of disability retirees under the age of 55. If the member is found to no longer be disabled, the disability retirement allowance will be discontinued upon offer of employment.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



010.035	Disability	Benefit Calculation	The system will provide the capability to override any disability benefit calculations made by the system.	1
010.036	Disability	Benefit Calculation	The system will provide the capability to calculate any additional amounts SCERS owes the member at the time of conversion from service retirement to disability retirement.	1
010.037	Disability	Benefit Calculation	The system will provide the capability to calculate any additional amounts the member owes SCERS at the time of conversion from service retirement to disability retirement.	1
010.038	Disability	Benefit Calculation	The system will provide the capability to override any additional amount owed as calculated by the system.	1
010.039	Disability	Taxation	The system will provide the capability to override the taxable and non-taxable amounts that were determined by the system.	2
010.040	Disability	Taxation	The system will provide the capability to differentiate taxable disability benefits from non-taxable disability benefits on new retiree accounts.	2
010.041	Disability	Taxation	The system will provide the capability to differentiate taxable disability benefits from non-taxable disability benefits on existing retiree accounts.	2
010.042	Disability	Person Data	The system will provide the capability to designate a member's account in the system as 'pending disability' for as long as the claim approval process may take.	1
010.043	Disability	Person Data	The system will provide the capability for a SCERS user to flag a disability case as pending hearing.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



010.044	Disability	Reports, Forms & Letters	<p>The system will provide the capability to track the sent dates, received dates, due dates, and other status values of the following documents and events supporting a disability claim, at a minimum:</p> <ul style="list-style-type: none"> • Release of information (signed by member) • Medical records from treating physicians • Meetings and appointment dates • Independent medical evaluation appointment dates • Due dates of correspondence items • Application for disability • Notices to member • Notices to attorneys • Notices to participating employer • Recommendation and findings • Agenda to the board • Case analysis • Formal letter of decision • Free-text notes • Hearings and requests for hearings • Board decisions • Writ of Mandate 	2
010.045	Disability	Reports, Forms & Letters	<p>The system will provide the capability to add and remove items to the list of documents and events supporting a disability claim.</p>	2
010.046	Disability	Reports, Forms & Letters	<p>The system will provide the capability to generate, at a minimum, the following standard disability-related letters.</p> <ul style="list-style-type: none"> • Letters to doctors • Standard notices to members • Standard notices to attorneys • Letters to participating employers, HR, and other applicable entities 	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



010.047	Disability	Reports, Forms & Letters	The system will provide the capability to generate a summary document, using information and disability case details in the system, for use in presenting an appealed disability case to the board. This summary document will include information extracted from the system or directly input by SCERS staff, such as: <ul style="list-style-type: none"> • Member name • Member social security number • Member personal identification number • Member address • Member phone number • Brief chronological history of the case • Free narrative space • Physician information • Previous determinations • Date of application • Date of rejection • Date of appeal 	2
010.048	Disability	Reports, Forms & Letters	The system will provide the capability to modify the standard content of disability-related letters generated as needed to support Disability claim processing.	2
010.049	Disability	Reports, Forms & Letters	The system will provide the capability to export the standard disability-related letters to Microsoft Word (versions 2003 and later) to customize the content for a particular disability situation.	2
010.050	Disability	Reports, Forms & Letters	The system will provide the capability to create new standard disability-related letters based on existing standard disability letters.	2
010.051	Disability	Reports, Forms & Letters	The system will provide the capability to add new original standard disability-related letters.	2
010.052	Disability	Reports, Forms & Letters	The system will provide the capability to delete standard disability-related letters.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



010.053	Disability	Reports, Forms & Letters	The system will provide the capability to create an annual report to the board detailing at a minimum, for the past year: <ul style="list-style-type: none"> • Number of disability retirement applications received • Number of disability retirement applications processed • Number of disability retirement applications currently in processing • Number of awarded disabilities • Total value of disability benefits awarded The above can be broken down by type of application and membership category.	2
010.054	Disability	Web Portal	The system will, for the Web Portal, contain a digital disability retirement application form that can be filled out by a member and submitted directly to SCERS.	3
010.055	Disability	Validation	The system will, for the Web Portal, contain built-in validations that ensure a disability retirement application is fully complete before being submitted to SCERS. Incomplete sections will be flagged for correction by the member prior to submission.	3
010.056	Disability	System Data	The system will not allow SCERS staff to open a disability retirement case without first requesting that the staff verify that a complete application is on file, either through use of a system flag or by requesting that the staff make an active confirmation.	2
010.057	Disability	System Data	The system will allow the SCERS user to override any determination of an incomplete application for disability retirement to account for special circumstances.	2
010.058	Disability	Person Data	The system will provide the capability to place a flag on a member record that satisfies the following requirements: <ul style="list-style-type: none"> • A Petition for Writ has been filed for a disability case under appeal • Less than 5 years have elapsed from the writ date of filing • The case has yet to be heard by the Superior Court 	2
010.059	Disability	Workflow & Case Management	The system will provide the ability for SCERS staff to make the hearing process a mandatory component of the disability workflow process.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



010.060	Disability	System Data	The system will provide the capability for SCERS staff to flag a disability case as withdrawn (with or without prejudice).	1
010.061	Disability	Web Portal	The system will provide the capability to provide a Disability application status and alerts to a member for important events such as independent medical evaluation appointment through the web portal.	2
011.001	Domestic Relations Orders (DRO)	Benefit Calculation	The system will not allow processing of combined payments to a member and alternate payee/non-member in excess of the payment that would otherwise have been paid to the member alone, if stated as such in the DRO.	1
011.002	Domestic Relations Orders (DRO)	Benefit Calculation	The system will not allow division of a Disability Retirement benefit in such a way that the alternate payee/non-member's benefit exceeds the amount of the retiree's Service Retirement allowance, if stated as such in the DRO.	1
011.003	Domestic Relations Orders (DRO)	Benefit Payment	The system will not allow distributions to be made from a member account that has been placed in a "temporary freeze."	2
011.004	Domestic Relations Orders (DRO)	Workflow & Case Management	The system will provide the ability to place a "temporary freeze" on a member's account so that no payments can be made or retirement processed during an ongoing dissolution proceeding.	2
011.005	Domestic Relations Orders (DRO)	Workflow & Case Management	The system will allow the SCERS user to place a "temporary freeze" on a member's account due to a dissolution of marriage proceeding to which SCERS has not yet been joined.	2
011.006	Domestic Relations Orders (DRO)	Workflow & Case Management	The system will automatically generate a reminder every XX days (where XX is a value determined by SCERS) to the assigned SCERS user on accounts subject to a "temporary freeze" or "hard freeze" to evaluate the status of the dissolution of marriage case. The reminder will automatically occur indefinitely every XX days until the "freeze" is removed.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



011.007	Domestic Relations Orders (DRO)	Workflow & Case Management	The system will provide the ability to remove holds previously placed on a member's account as a result of a pending dissolution of marriage proceeding in the event that the proceeding indicates no division of properties.	2
011.008	Domestic Relations Orders (DRO)	Workflow & Case Management	The system will prompt the SCERS user to verify receipt of a court-approved Petition to Dismiss prior to removing the "hard freeze" placed on a member account as a result of a Summons (Joinder).	2
011.009	Domestic Relations Orders (DRO)	Benefit Data	The system will provide the capability to track any amount withheld from a retired member's existing monthly benefit pending the result of a dissolution of marriage proceeding.	1
011.010	Domestic Relations Orders (DRO)	Benefit Payments & Refunds	The system will not allow distributions to be made from a member account that has been placed in a "hard freeze", except for previously established and ongoing monthly retiree benefits.	2
011.011	Domestic Relations Orders (DRO)	Benefit Payments & Refunds	The system will provide the capability to withhold a SCERS user-defined percent of a retiree's existing monthly benefit as a result of SCERS being joined to a dissolution proceeding and track the amount withheld each month from the member's monthly benefit.	2
011.012	Domestic Relations Orders (DRO)	Benefit Payments & Refunds	The system will provide the capability to pay out the accumulated withheld portion of a member's existing monthly benefit as a one-time payment back to the member or to the non-member/alternate payee upon final outcome of the marital dissolution proceedings.	2
011.013	Domestic Relations Orders (DRO)	Person Data	The system will allow the SCERS user to place a "hard freeze" on a member's account due to a dissolution of marriage proceeding to which SCERS has been officially joined.	1
011.014	Domestic Relations Orders (DRO)	Reports, Forms & Letters	The system will provide the capability to generate a letter to the member if a DRO indicating that the member's retirement will be divided has been received but SCERS has not been joined to the proceedings.	2
011.015	Domestic Relations	Benefit Calculation	The system will provide the capability to apportion SCERS benefits as directed by the	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



	Orders (DRO)		DRO in a Dissolution of Marriage.	
011.016	Domestic Relations Orders (DRO)	Benefit Calculation	The system will provide the capability to use the following "Brown Formula," as appropriate, to calculate the community property interest, subject to the terms stipulated by the DRO: Ex-spouse's allocated monthly benefit = (No. of months SCERS service between marriage date and separation date / No. of months of SCERS service at retirement of member) x 50% x Member's retirement allowance	1
011.017	Domestic Relations Orders (DRO)	Benefit Calculation	The system will provide the capability to adjust the benefit amount retroactively to the date specified in the DRO.	1
011.018	Domestic Relations Orders (DRO)	Benefit Calculation	The system will provide the capability to enter dollar amounts, percentages, and/or a combination of percentage and dollars by which to divide a member's benefit, as ordered by the DRO.	1
011.019	Domestic Relations Orders (DRO)	Benefit Calculation	The system will support division of a member's retirement benefit between the member and an alternate payee.	1
011.020	Domestic Relations Orders (DRO)	Person Data	The system will provide the ability to create a separate benefit for the alternate payee from which the community property may be disbursed.	1
011.021	Domestic Relations Orders (DRO)	Benefit Calculation	The system will provide the capability to administer the apportionment of benefits resulting from a Dissolution of Marriage without the need to create separate accounts for the alternate payee(s), when applicable.	1
011.022	Domestic Relations Orders (DRO)	Benefit Calculation	The system will support division of a member's retirement account between the member and a non-member as specified by the DRO.	1
011.023	Domestic Relations Orders (DRO)	Person Data	The system will provide the ability to create a separate account for the non-member into which the community property share may be moved.	1
011.024	Domestic Relations Orders (DRO)	Benefit Calculation	The system will provide the capability to split the community property portion of service and contributions and interest due to a non-member and move it to their account.	1
011.025	Domestic Relations	Reports, Forms and Letters	The system will provide the capability to notify the member if a non-member elects to refund	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



	Orders (DRO)		their portion of service.	
011.026	Domestic Relations Orders (DRO)	Reports, Forms and Letters	The system will provide the capability to calculate and send an estimate to a member to purchase service equivalent to the amount that a non-member was awarded and refunded.	2
011.027	Domestic Relations Orders (DRO)	Reports, Forms, and Letters	The system will provide the capability to generate a notification when the combined member and non-member benefit is nearing 100% of final average salary (FAS).	1
011.028	Domestic Relations Orders (DRO)	Benefit Calculation	The system will allow for division of a death benefit between an alternate payee and the member's beneficiary.	1
011.029	Domestic Relations Orders (DRO)	Benefit Calculation	The system will allow for the division of the deceased member's surviving spouse's benefit if a DRO requires it.	1
011.030	Domestic Relations Orders (DRO)	Person Data	The system will allow for input and tracking of beneficiaries for the alternate payee/non-member.	1
011.031	Domestic Relations Orders (DRO)	Benefit Calculation	The system will allow a member's retirement benefit to be divided between the member and the alternate payee regardless of the retirement option elected by the member at the time of retirement.	1
011.032	Domestic Relations Orders (DRO)	Benefit Calculation	The system will allow for a division of the member's surviving spouse's benefit with the alternate payee if so ordered by a court.	1
011.033	Domestic Relations Orders (DRO)	Eligibility	The system will allow payments to an alternate payee's beneficiary if the alternate payee dies while taking the community property share of the member's monthly retirement benefit.	1
011.034	Domestic Relations Orders (DRO)	Eligibility	The system will be capable of stopping benefit payments to an alternate payee when the member becomes deceased.	1
011.035	Domestic Relations Orders (DRO)	Benefit Calculation	The system will revert benefits back to a member when the alternate payee dies, if appropriate.	1
011.036	Domestic Relations Orders (DRO)	Workflow & Case Management	The system will allow the SCERS user to release the member's account from "temporary freeze" or "hard freeze" if the proceedings are concluded and the member retains all interest in the account by court order.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



011.037	Domestic Relations Orders (DRO)	Benefit Calculation	The system will allow for a vested member's refund after termination to be split between the member and the ex-spouse in any way stipulated by the DRO.	1
011.038	Domestic Relations Orders (DRO)	Person Data	The system will not allow a vested member a refund after termination while the member's account is under "temporary freeze" or "hard freeze" for a pending dissolution of marriage proceeding.	1
011.039	Domestic Relations Orders (DRO)	Benefit Calculation	The system will allow for a non-vested member's refund to be split between the member and the ex-spouse in any way stipulated by the DRO.	1
011.040	Domestic Relations Orders (DRO)	Person Data	The system will not allow a non-vested member refund after termination while the member's account is under "temporary freeze" or "hard freeze" for a pending dissolution of marriage proceeding.	1
011.041	Domestic Relations Orders (DRO)	Systems Data	The system will consider registered domestic partnerships as equivalent to marriage when applying business rules for marital dissolution.	1
011.042	Domestic Relations Orders (DRO)	Benefit Calculation	The system will provide the capability to apply adjustments (i.e. COLA) to the alternate payee/non-member's benefits.	1
011.043	Domestic Relations Orders (DRO)	Benefit Calculation	The system will provide the capability to eliminate components of the benefit (i.e. COLA or health benefits) from the alternate payee/non-member's benefits.	1
011.044	Domestic Relations Orders (DRO)	Benefit Calculation	The system will provide the capability to identify non-taxable portions of the retirement benefit and contributions for members and alternative payees/non-members.	1
011.045	Domestic Relations Orders (DRO)	Benefit Calculation	The system will provide capability to include or exclude purchased service credit in the division of member benefits, as it is written in the DRO.	1
011.046	Domestic Relations Orders (DRO)	Benefit Calculation	The system will allow service that was bought by the member during the marriage to be apportioned to both the member and the ex-spouse upon dissolution, even if the actual time period that the member bought might have happened before the marriage. If the purchase was executed or initiated during the marriage, it may apply to both the member and	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			the ex-spouse. The exact apportionment will be determined by court and documented in the stipulation.	
011.047	Domestic Relations Orders (DRO)	Benefit Data	The system will provide a set of parameters that must be satisfied in order to process refunds or set up a benefit in conjunction with a Dissolution of Marriage.	1
011.048	Domestic Relations Orders (DRO)	Eligibility	The system will provide the capability to apply the rule that disability benefits do not become subject to community property distribution until the member would be eligible to retire on a regular service retirement.	1
011.049	Domestic Relations Orders (DRO)	Person Data	The system will provide the capability for entry and storage of demographic information such as name and contact information for a member's attorney in a marital dissolution proceeding.	1
011.050	Domestic Relations Orders (DRO)	Person Data	The system will provide the capability to designate an account as being subject to DRO once a final approved DRO has been received.	1
011.051	Domestic Relations Orders (DRO)	Person Data	The system will prevent any member account from being divided between a member and ex-spouse unless the account has been designated as subject to DRO.	1
011.052	Domestic Relations Orders (DRO)	Person Data	The system will provide the capability to administer an unlimited number of marital dissolutions for a member and, therefore, allow for member's benefit to be further divided for each potential dissolution.	1
011.053	Domestic Relations Orders (DRO)	Person Data	The system will provide the capability to easily identify the status of the dissolution process by viewing the member's account.	1
011.054	Domestic Relations Orders (DRO)	Person Data	The system will provide the capability to link all payees involved in the dissolution to the member's account. If the ex-spouse is also a member of SCERS, there will be a cross-reference in both directions. If the member had multiple divorce settlements, there will be multiple links to alternate payees/non-members.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



011.055	Domestic Relations Orders (DRO)	Reports, Forms & Letters	The system will provide the capability to issue various letters to the member or member's attorney to request or provide information related to the marital dissolution proceedings.	2
011.056	Domestic Relations Orders (DRO)	Reports, Forms & Letters	The system will provide the capability to issue various memos to SCERS's General Legal Counsel regarding the status and progress of a member's marital dissolution proceeding.	2
011.057	Domestic Relations Orders (DRO)	Reports, Forms & Letters	The system will provide the capability for letters and memos to be modified by a SCERS user allowing customization for special circumstances.	2
011.058	Domestic Relations Orders (DRO)	Reports, Forms & Letters	The system will allow the SCERS user to generate a letter to the member that provides existing beneficiary information, which may include the ex-spouse, and requests that the member consider updating beneficiary information.	2
011.059	Domestic Relations Orders (DRO)	System Data	The system will provide the capability to store and review historical information on actions that were performed on member accounts (who did what and when) regarding dissolution orders.	1
011.060	Domestic Relations Orders (DRO)	Workflow & Case Management	The system will provide the capability, through checklists and other tools, to ensure that SCERS always obtains a judgement. (This is a different instrument from a DRO, which states how the assets are to be divided.)	2
011.061	Domestic Relations Orders (DRO)	Workflow & Case Management	The system will provide the capability to set calendar events that will automatically take actions stated in the DRO (i.e. reduction of benefit, etc.).	2
011.062	Domestic Relations Orders (DRO)	Workflow & Case Management	The system will provide the document management capability to help administer dissolution orders.	2
011.063	Domestic Relations Orders (DRO)	Workflow & Case Management	The system will provide checklists and other integrated tools to help administer dissolution orders.	2
011.064	Domestic Relations Orders (DRO)	Workflow & Case Management	The system will alert the SCERS user when a dissolution of marriage is processed that the member's beneficiary designations may need to be revised.	2
011.065	Domestic Relations	Workflow & Case	The system will provide the capability to set reminders and a schedule for all dissolution	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



	Orders (DRO)	Management	communications.	
011.066	Domestic Relations Orders (DRO)	Workflow & Case Management	The system will be capable of linking payees established during the DRO process to the new benefit set up and refund processes, thus eliminating the need to re-enter payee information when establishing payments new to these payees.	2
011.067	Domestic Relations Orders (DRO)	Workflow & Case Management	The system will provide the capability to assist SCERS in tracking the various administrative steps in processing a Dissolution of Marriage to completion.	2
011.068	Domestic Relations Orders (DRO)	Workflow & Case Management	The system will launch and assign a workflow process designed to manage a community property issue when marriage dissolution documents are received in a member's electronic file.	2
011.069	Domestic Relations Orders (DRO)	Workflow & Case Management	The system will, upon receipt of marriage dissolution documents in a member's electronic file, begin alerting any SCERS user attempting to make any form of distribution from a member's account that further investigation may be required before issuing the distribution.	2
011.070	Domestic Relations Orders (DRO)	Usability	The system will provide the capability for SCERS to override any benefit factors pertaining to a DRO.	2
011.071	Domestic Relations Orders (DRO)	Workflow & Case Management	The system will, in the event that a DRO is received after a split or benefit has been processed, allow for SCERS to reverse or revise the prior action.	1
012.001	Final Average Salary Calculation (FAS)	Benefit Calculation	The system will provide the capability to calculate Final Average Salary using either consecutive one-year or three-year measurement periods depending on the member's tier according to the following rules: <ul style="list-style-type: none"> • Tier 1 Miscellaneous and Safety members: 1 year • All other Tiers: 3 years 	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



012.002	Final Average Salary Calculation (FAS)	Benefit Calculation	<p>The system will provide the capability to calculate FAS in multiple ways:</p> <ul style="list-style-type: none"> • Using the most recent measurement period, often up to and including the last day paid. This measurement period can include gaps in service if the member was employed full time but cannot include gaps in service for part time members. • Calculating the average salary in each measurement period throughout the member's SCERS career. The resulting FAS is the maximum average salary from all measurement periods. <p>The calculated FAS from both methods will display during a FAS calculation and the SCERS user will have the opportunity to choose which one to use. The FAS will default to the most recent measurement period.</p>	1
012.003	Final Average Salary Calculation (FAS)	Benefit Calculation	<p>The system will provide the capability to calculate Final Average Salary for Active Death calculations using either a one-year or three-year FAS if an allowance is taken, depending on member's tier.</p>	1
012.004	Final Average Salary Calculation (FAS)	Benefit Calculation	<p>The system will provide the capability to calculate Final Average Salary on an alternative consecutive measurement period upon request by the member.</p>	1
012.005	Final Average Salary Calculation (FAS)	Benefit Calculation	<p>The system will provide the capability to calculate Final Average Salary on any measurement period required, of duration X years where X can be specified by the SCERS user.</p>	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



012.006	Final Average Salary Calculation (FAS)	Benefit Calculation	<p>The system will provide the capability to calculate Final Average Salary for part-time members by determining the full-time equivalent average salary for either a one- or three-year measurement period based on member tier. This requires extending the lookback period until a sufficient amount of service has been captured (one or three years).</p> <ul style="list-style-type: none"> • For example, a part-time member with 0 Service credits in a pay period will be brought up to what a normal schedule would have been. So, if they were half time, then they would be brought up to 40 hours. • In a case where a member has hours greater than 0 in a single pay period, they would get that time, would not be brought up, and the review period would be extended. 	1
012.007	Final Average Salary Calculation (FAS)	Workflow & Case Management	<p>The system will contain a workflow to guide the review process that is triggered once a member account is flagged for potentially disallowed enhancements. The workflow will provide automation in the form of checklists, calendars, calculations, and other tools to support the tracking of documents and events involved in the determination of a disallowed enhancement.</p>	2
012.008	Final Average Salary Calculation (FAS)	Benefit Calculation	<p>The system will provide the capability to automatically perform a test calculation along with each FAS calculation. The test will consist of the following:</p> <ul style="list-style-type: none"> • An additional FAS calculation (the disallowed enhancement test FAS) for the one-year period preceding the FAS measurement period • A calculation of the expected FAS from the test FAS using actuarially derived compensation increase factors • A comparison of the expected FAS to the calculated test FAS <p>If the test FAS exceeds the expected FAS by more than a SCERS specified amount using the actuarially derived compensation figures, a flag will be raised on the member record identifying potential disallowed enhancements and triggering further review.</p>	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



012.009	Final Average Salary Calculation (FAS)	Person Data	The system will provide the capability for a SCERS user to manually remove the flag on a member record. This may be required if the file review determines that a disallowed enhancement was not involved, or the member successfully appeals the disallowed determination.	2
012.010	Final Average Salary Calculation (FAS)	Benefit Data	The system will provide the capability to store factors representing actuarially expected salary increases to be used as part of the disallowed enhancement test.	2
012.011	Final Average Salary Calculation (FAS)	Benefit Data	The system will provide the capability for SCERS users to flag individual pay elements as being "disallowed" upon confirmation of a disallowed enhancement. The disallowed elements will no longer be considered in FAS calculations.	1
012.012	Final Average Salary Calculation (FAS)	Benefit Data	The system will provide the capability for SCERS staff to flag an account even if they are below SCERS specified amount of the actuarial expected increase in pay, in cases of identified disallowed pay elements (insurance subsidy, car allowance, standby pay).	1
012.013	Final Average Salary Calculation (FAS)	Benefit Calculation	The system will use the following formula to calculate FAS under normal circumstances: FAS = compensation earnable in measurement period / number of months (12 or 36) in measurement period.	1
012.014	Final Average Salary Calculation (FAS)	Benefit Calculation	The system will use the following formula to calculate FAS if the member's total amount of service is less than the applicable measuring period (when reciprocity is not established or there are applicable gaps in service): FAS = total compensation earnable / total service in months	1
012.015	Final Average Salary Calculation (FAS)	Benefit Calculation	The system will provide the capability to determine a member's benefit tier for the purpose of determining the measurement period required to calculate Final Average Salary.	1
012.016	Final Average Salary Calculation (FAS)	Benefit Calculation	The system will allow the SCERS user the option to input a Final Average Salary value from a reciprocal retirement system that will override the system calculated value if the member has established reciprocity with	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			another retirement system. The FAS at the reciprocal system in this scenario is higher.	
012.017	Final Average Salary Calculation (FAS)	Benefit Data	The system will provide the capability to store a reciprocal FAS value on applicable member records.	2
012.018	Final Average Salary Calculation (FAS)	Benefit Data	The system will provide the capability to remove specific pay elements from consideration in FAS calculations.	1
012.019	Final Average Salary Calculation (FAS)	Person Data	The system will contain a flag on member records for those members who are, or have been, on a 7/12 schedule.	2
012.020	Final Average Salary Calculation (FAS)	Person Data	The system will contain a history of periods during which a member worked on a 7/12 schedule. The history will display prior to a FAS calculation being run on a member in order to ensure proper reconciliation has been performed.	2
012.021	Final Average Salary Calculation (FAS)	Service Data	The system will provide the capability to adjust the Service Credit of a member who has any 7/12 service on their record based on the following rules: <ul style="list-style-type: none"> • Overtime Straight Rate Pay or Compensating Time Off (CTO) taken or expired can bring members up to 84 hours • For Sworn Officers (rep unit 003), any other overtime pay elements that bring a member to 84 hours in a particular pay period must be removed from Service Credit and FAS. 	1
012.022	Final Average Salary Calculation (FAS)	Benefit Calculation	The system will provide the capability to remove any compensation associated with removed 7/12 Service Credit prior to running a FAS calculation.	1
012.023	Final Average Salary Calculation (FAS)	Benefit Payments & Refunds	The system will provide the capability to calculate any over-payments resulting from the 7/12 Service Credit adjustment, and begin procedures to issue a refund of contributions when the value is greater than \$10.	2
012.024	Final Average Salary Calculation (FAS)	Reports, Forms & Letters	The system will provide the capability to auto-generate a letter to the member upon issuance of a refund due to 7/12 service and the removal of service credit.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



012.025	Final Average Salary Calculation (FAS)	Person Data	The system will contain a flag on member records for those members who are, or have been, on a 24-hour schedule.	2
012.026	Final Average Salary Calculation (FAS)	Person Data	The system will contain a history of periods during which a member worked on a 24-hour schedule. The history will display prior to a FAS calculation being run on a member to ensure proper reconciliation has been performed.	2
012.027	Final Average Salary Calculation (FAS)	Person Data	The system will set a flag when a 24-hour member changes schedule, starts SDI integration, goes on a leave of absence, changes from a permanent to temporary position, or terminates.	2
012.028	Final Average Salary Calculation (FAS)	Reports, Forms & Letters	The system will provide the capability to generate a report summarizing all 24-hour members that have changed schedule in the past X months, where X is defined by SCERS.	2
012.029	Final Average Salary Calculation (FAS)	Service Data	The system will provide the capability to adjust the Service Credit of a member when they transition off a 24-hour schedule using a factor of 1.4 to reduce the service.	1
012.030	Final Average Salary Calculation (FAS)	Benefit Payments & Refunds	The system will provide the capability to calculate any over- or under-payments resulting from the 24-hour Service Credit adjustment, and begin procedures to issue a refund or collect funds appropriately.	2
012.031	Final Average Salary Calculation (FAS)	Reports, Forms & Letters	The system will provide the capability to auto-generate a letter to the member upon determination of the under-or over-contribution due to 24-hour service.	2
012.032	Final Average Salary Calculation (FAS)	Benefit Calculation	The system will provide the capability to determine the number of hours in the FAS measurement period for a member with 24-hour service on their record based on the specific hours worked in the first payroll period.	1
012.033	Final Average Salary Calculation (FAS)	Person Data	The system will provide the capability to set a flag when a 24-hour period has been reconciled.	2
012.034	Final Average Salary Calculation	Service Data	The system will provide the capability to track periods of leave and gaps in service on a member record.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



	(FAS)			
012.035	Final Average Salary Calculation (FAS)	Benefit Calculation	The system will provide the capability to omit gaps and leaves of absence from the FAS measurement period. If a gap or period of leave occurs within a measurement period, the measurement period must be re-calculated such that all service contained within is consecutive.	1
012.036	Final Average Salary Calculation (FAS)	Service Data	The system will provide the capability to maintain an editable list of pay elements that are considered compensation earnable.	2
012.037	Final Average Salary Calculation (FAS)	Service Data	The system will provide the capability to determine compensation earnable in each pay period and store a history of compensation earnable accrued by each member.	2
012.038	Final Average Salary Calculation (FAS)	Service Data	The system will provide the capability to store SCERS Unlimited Amounts reported from the appropriate payroll system as a separate total from compensation earnable.	2
012.039	Final Average Salary Calculation (FAS)	Benefit Calculation	The system will provide the capability to automate Final Average Salary calculations reliably and accurately based on data in the system.	1
012.040	Final Average Salary Calculation (FAS)	Benefit Calculation	The system will have the capability to provide SCERS staff the ability to override automated Final Average Salary calculations to accommodate special cases.	1
012.041	Final Average Salary Calculation (FAS)	Workflow & Case Management	The system will provide the functionality to trigger FAS calculations as a facet of the following workflows: <ul style="list-style-type: none"> • Benefit estimates • Service retirement applications • Disability awards • Worker's Compensation advance payments (as per Labor Code 4850.4) • Domestic Relations Orders • Death Processing 	1
012.042	Final Average Salary Calculation (FAS)	Batch Processing	The system will provide the capability to run FAS calculations in batch for the purposes of valuations or estimates.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



012.043	Final Average Salary Calculation (FAS)	Benefit Calculation	The system will be able to accommodate CalPEPRA Pension Compensation Limits when calculating FAS.	1
012.044	Final Average Salary Calculation (FAS)	Benefit Calculation	The system will provide the capability to calculate FAS using a high one-year and high three-year measuring period in all cases but only show the result applicable to the specific plan/tier benefit being calculated.	1
013.001	General Ledger Extract	Usability	The system will provide the capability to enter a transaction date range when creating the extract file to General Ledger. The new PAS must provide monthly (1st through 30th/31st of each month) totals for transactions (Summary for payroll journal).	2
013.002	General Ledger Extract	Usability	The system will provide the capability to specify a level of detail (i.e., summarized, detailed, etc.) to be included in the extract file to General Ledger.	2
013.003	General Ledger Extract	Accounting	The system will provide the capability to use posting date, not effective date, to catch back-dated postings when creating the extract file to General Ledger.	2
013.004	General Ledger Extract	Interface	The system will provide the capability to create journal entries for retired and terminated members to post in General Ledger system and include those journal entries in the extract file to the General Ledger. The journal entries will be created for. <ul style="list-style-type: none"> • Payroll expenses • Reserve transfers • Lump sum payments 	2
013.005	General Ledger Extract	Interface	The system will provide the capability to create a monthly extract file for summary amounts charged to a SCERS specified account by tier for active members to post in the General Ledger.	2
013.006	General Ledger Extract	Interface	The system will provide the capability to accept an extract file from the disbursement bank containing member payment data, and post that data to member records.	2
013.007	General Ledger	Accounting	The system will provide the capability to track funds under separate plans based on a fields specified by SCERS for their chart of	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



	Extract		accounts.	
013.008	General Ledger Extract	Security	The system will track all G/L actions SCERS user ID and date of each action.	1
013.009	General Ledger Extract	Reports, Forms & Letters	The system will provide summary and detail reports to be used for manual G/L journal entries, as well as in reconciliation tasks.	2
013.010	General Ledger Extract	Accounting	The system will post to a data extract (referred to as a G/L extract) all activities transacted in the PAS that have any financial impact to the fund.	1
013.011	General Ledger Extract	Reports, Forms & Letters	The system will automatically produce extract files that represent financial datasets derived from all activities transacted in the PAS that have any financial impact to the fund and be able to generate reports that exactly mirror the extract output.	2
013.012	General Ledger Extract	Accounting	The system will provide the capability to create a G/L extract organized according to SCERS' current chart of accounts.	2
013.013	General Ledger Extract	Reports, Forms & Letters	The system will generate a report that represents the contents of the G/L extract file wherever there is an effective date for a financial transaction. This report will include that effective date in one of the fields to help distinguish it from other records.	2
013.014	General Ledger Extract	Reports, Forms & Letters	The system will generate a report wherever there is a unique identifier for a financial transaction. This report will represent the contents of the G/L extract file and will be configurable to display that unique identifier to help distinguish it from other financial records.	2
013.015	General Ledger Extract	Accounting	The system will create individual, detailed transactions that represent the smallest level of granularity corresponding to a financial transaction. These will be referred to here as G/L transactions. G/L transactions will be accumulated at some aggregated level determined by the type of financial transaction and the posting date, and the accumulated G/L transaction records will form the basis of G/L extract files.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



013.016	General Ledger Extract	Accounting	The system will assign, for each G/L transaction and transaction type in the system, a field value that allows it to be identified back to the original transaction. This will allow SCERS users to easily recognize if records are included or missing from a report query. Although these values will exist for each G/L transaction, they may or may not be used for each G/L extract file.	2
013.017	General Ledger Extract	Accounting	The system will be able to add more deductions as needed to include in the G/L extract file. Deductions will be associated with different vendors, and each vendor may have a unique G/L account code.	2
013.018	General Ledger Extract	Accounting	The system will allow a transaction date range as input when creating the G/L extract file.	2
013.019	General Ledger Extract	Accounting	The system will have the ability to add or update account numbers based upon changes that may occur in SCERS' chart of accounts.	2
013.020	General Ledger Extract	Accounting	The system will flag those items that have previously been posted to a G/L extract file as having been previously posted with some date stamp, time stamp, and other unique identifier (e.g. batch identification number), and the logic in the system must prevent those items that have previously been posted from posting again to another extract file.	2
013.021	General Ledger Extract	Accounting	The system will track and report on contributions due (under-payment) to SCERS and payable (over-payment) at both the individual participant and the employer level.	2
013.022	General Ledger Extract	Accounting	The system will track and report on receivables on all benefit over-payment situations.	2
013.023	General Ledger Extract	Accounting	The system will provide the capability to add more accounts and subaccounts as needed to include in the extract to the accounting system.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



013.024	General Ledger Extract	Accounting	The system will post to any G/L extract all financial transactions associated with fixing an incorrectly assigned employer. When employers are miss-assigned to participant contribution records and these records require fixing, the original amounts must be automatically reversed and posted to the G/L extract, and the amounts also posted to the newly (correctly) assigned employer. These amounts must be included not just as part of the G/L extract, but also in any financial report.	2
013.025	General Ledger Extract	Accounting	The system will have the capability to create a reversal transaction and a correcting transaction for any error correction that has an accounting impact. The transaction will then be included as part of the G/L extract, as well as any financial report.	2
013.026	General Ledger Extract	Accounting	The system will be capable of recording and reporting on all accounts receivable, which may include the following: <ul style="list-style-type: none"> • Contributions • Audit billing amounts • Invoices for underpayments of contributions • Retroactive billing due to changed contribution rates • Credit history corrections (paying for additional service units) • Withdrawal liability 	2
013.027	General Ledger Extract	Accounting	The system will be capable of recording and reporting on all disbursement transactions, which may include the following: <ul style="list-style-type: none"> • Benefit payments • Credit memos • Credit history corrections (crediting for over-reported service units) 	2
013.028	General Ledger Extract	Reports, Forms & Letters	The system will be capable of generating cash disbursement reports detailing disbursements for selected time periods, as needed.	2
013.029	General Ledger Extract	Interfaces	The system will contain a two-way extract for the import and export of data and reports between the PAS and the current accounting (G/L) system.	1
013.030	General Ledger Extract	Interfaces	The system will provide an extract for the accounting system from the PAS solution per the system's chart of accounts.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



013.031	General Ledger Extract	Workflow & Case Management	The system will contain a workflow process for the reconciliation of payments between the PAS, bank statements and the accounting system.	2
013.032	General Ledger Extract	Usability	The system will provide the capability for SCERS staff to change the frequency that the G/L extract creates	1
013.033	General Ledger Extract	Workflow & Case Management	The system will contain a workflow process for requesting manual adjustment of service and contributions, and will track the status of the workflow throughout its process.	2
013.034	General Ledger Extract	Reports, Forms & Letters	The system will provide a report of open work items that pertain to the manual adjustment of service and contributions.	2
013.035	General Ledger Extract	Accounting	The system will provide the capability to create adjustment transactions for the appropriate GL account when a manual adjustment is made.	2
013.036	General Ledger Extract	Technical	The system will provide the capability to create a General Ledger extract file to send to SCERS' General Ledger system.	1
013.037	General Ledger Extract	Technical	The system will provide the capability to create a General Ledger extract file of member transaction data.	1
014.001	Payroll Deductions	Workflow & Case Management	The system will automatically check the ECM file of each new benefit recipient not previously listed on the HID data file for the appropriate deduction authorization form and generate a list of those benefit recipients, if any, that do not have the form on file.	2
014.002	Payroll Deductions	Workflow & Case Management	The system will automatically check the ECM file of each deletant listed on the HID data file for the appropriate cancellation form and generate a list of those benefit recipients, if any, that do not have the form on file.	2
014.003	Payroll Deductions	Workflow & Case Management	The system will generate a work queue item that provides the SCERS user with the list of new benefit recipients/deletants in the current HID file for which the system could not locate a deduction authorization form or signed cancellation form in the ECM file and will, therefore, require intervention from the SCERS user.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



014.004	Payroll Deductions	Workflow & Case Management	The system will provide the capability for the SCERS user to suspend inclusion/exclusion of the HID deduction in a benefit recipient's upcoming payroll pending receipt of the appropriate deduction or cancellation authorization form.	2
014.005	Payroll Deductions	Workflow & Case Management	The system will issue a work queue item when a HID deduction authorization form/signed cancellation letter is received in a benefit recipients file requesting the SCERS user to verify the form and manually authorize (un-suspend) the HID deduction to be included/excluded in the upcoming payroll process.	2
014.006	Payroll Deductions	Validation	The system will enforce a standard naming convention for the ECM files.	2
014.007	Payroll Deductions	Batch Processing	The system will identify the HID payroll deduction from those benefit recipients that were previously listed on the HID data file but that are no longer listed on the current HID data file.	2
014.008	Payroll Deductions	Batch Processing	The system will automatically compare data in the current HID data file against the data in the prior month's HID data file to identify: <ul style="list-style-type: none"> • New benefit recipients added to the list • Benefit recipients removed from the list • Benefit recipients whose deduction amount has changed 	2
014.009	Payroll Deductions	Batch Processing	The system will apply HID deductions to the payroll of only those benefit recipients that are already in the system or specifically listed on an HID change file.	2
014.010	Payroll Deductions	Reports, Forms & Letters	The system will provide the capability to generate a report of demographic information for benefit recipients that have deductions withheld by EBO.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



014.011	Payroll Deductions	Reports, Forms & Letters	<p>The system will generate a report that can be viewed, saved, and printed listing identified differences between the contents of the current HID data file and the previous month's HID data file and summary data. The report will include, but is not limited to:</p> <ul style="list-style-type: none"> • New benefit recipients added to the list • Benefit recipients removed from the list • Existing benefit recipients whose deduction amount has changed • Total benefit recipients with deductions • The amount of deduction change for each benefit recipient • The total deduction amount for all benefit recipients for the current month and the prior month • The variance in total deduction amount from prior month to current month • Benefit recipient in HID file is deceased • HID will produce a negative retirement benefit 	2
014.012	Payroll Deductions	Workflow & Case Management	The system will generate a report of validation exceptions in the HID data file, if any, and issue a work queue item requiring correction of the exceptions by a SCERS user.	2
014.013	Payroll Deductions	Workflow & Case Management	The system will provide the capability to manually add, remove, or change the HID deductions for individual benefit recipients at any time.	2
014.014	Payroll Deductions	Benefit Payments	The system will provide the capability to include an unlimited number of deductions to the benefit recipient's gross payment amount, as ordered by Court or other authoritative body, in SCERS' payroll.	2
014.015	Payroll Deductions	Benefit Payments	The system will provide the capability to add or remove payroll deduction items for each benefit recipient included in SCERS' payroll.	2
014.016	Payroll Deductions	Benefit Payments	The system will provide the capability to include an unlimited number of adjustments to the benefit recipient's gross benefit amount in payroll.	2
014.017	Payroll Deductions	Benefit Payments	The system will provide the capability to include an unlimited number of reductions to the benefit recipient's gross benefit amount with each reduction having its own stop date.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



014.018	Payroll Deductions	Benefit Payments	The system will provide the capability to track repayments for overpaid benefits as a separate category from standard deductions.	2
014.019	Payroll Deductions	Workflow & Case Management	The system will provide the capability to set up and administer healthcare deductions for self-pay.	1
014.020	Payroll Deductions	Reports, Forms & Letters	The system will provide the capability to generate statements to benefit recipients that are on self-pay that will provide information on the amount of the deduction and when the payment is due.	1
014.021	Payroll Deductions	Reports, Forms & Letters	The system will provide the capability to generate follow up letters to benefit recipients that become late on their payment each month in order to remind them that the payment is due. The letter will be sent at an interval selected by SCERS.	1
014.022	Payroll Deductions	Web Portal	The system will provide the capability for the benefit recipients to make payments for the healthcare deductions through the web portal and will facilitate multiple types of payment options such as ACH, debit card deductions, etc.	2
014.023	Payroll Deductions	Workflow & Case Management	The system will provide the capability for SCERS to remove healthcare deductions after a SCERS specified period of time has elapsed and the benefit recipient fails to pay their deductions.	1
014.024	Payroll Deductions	Batch Processing	The system will be capable of identifying benefit recipients whose monthly retirement benefit is less than the sum of the deductions to be withheld and alert a SCERS user. The system will not allow a negative retirement benefit amount.	2
014.025	Payroll Deductions	Refunds & Benefit Payments	The system will be able to set up health insurance deductions (including other types of insurance, such as vision, dental, etc.), and track these deductions for each benefit recipient that is enrolled in an employer-sponsored health plan.	1
014.026	Payroll Deductions	System Data	The system will have the ability to store and maintain healthcare plan codes and associated data.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



014.027	Payroll Deductions	System Data	The system will have the ability to store and maintain premium rates (deductions) for benefit recipients and associated non-members.	1
014.028	Payroll Deductions	Reports, Forms & Letters	The system will have the ability to produce individual reports files containing premium and subsidy information to all SCERS external agents responsible for maintaining health plans for SCERS benefit recipients.	2
014.029	Payroll Deductions	Interface File	The system will have the ability to import interface files from external agents that contain information on SCERS benefit recipient enrollment in health plans. The import process will automatically update benefit recipient's health premium deductions.	2
014.030	Payroll Deductions	Interface File	The system will have the ability to import a generic adjustments file in an Excel format. The file will contain the SCERS-defined fields.	2
014.031	Payroll Deductions	Member Data	The system will have the ability to update individual subsidy/premiums for benefit recipients.	1
014.032	Payroll Deductions	Benefit Calculations	The system will be able to apply appropriate benefit payroll deductions and credits, including automatically calculated retroactive adjustments, beginning with the first benefit payment issued after the coverage effective date.	1
014.033	Payroll Deductions	Benefit Calculations	The system will automate the calculations associated with premiums and subsidy credits/debits as a result of retroactive benefit payments and/or health care enrollments.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



014.034	Payroll Deductions	Benefit Calculations	<p>The system will be able to properly determine, calculate and report the taxable and non-taxable portion of the health benefit subsidies program (Medical Subsidy, Dental Subsidy, and applicable reimbursements) based upon the following:</p> <ul style="list-style-type: none"> • Under the Internal Revenue Code, SCERS medical subsidy is not taxable when used to pay for medical coverage for the following: <ul style="list-style-type: none"> o SCERS Benefit Recipient eligible for subsidy o An opposite-sex spouse o Dependent child who is under age 19 o Anyone claimed as a tax dependent on the benefit recipient's federal income tax form • Any portion of the medical subsidy that is used to pay for coverage for any other individual may be taxable. • The SCERS medical subsidy may also be taxable if: <ul style="list-style-type: none"> o Benefit recipient receiving a subsidy is an eligible Surviving Domestic Partner o Subsidy is used to cover a child who is a child of a domestic partner or same-sex spouse 	1
014.035	Payroll Deductions	Accounting	<p>The system will provide the ability to apply manual benefit payroll credits or debits to a benefit recipient's payroll. These credits or debits must be assigned to specific vendors and/or agencies, and be defined by effective date from, effective date to, and amount.</p>	1
014.036	Payroll Deductions	Usability	<p>The system will provide the capability for SCERS staff to manually override a deduction amount as they see fit.</p>	1
014.037	Payroll Deductions	Benefit Calculations	<p>The system will provide the capability to withhold multiple deductions in a single period to accommodate different retirement dates.</p>	1
014.038	Payroll Deductions	Usability	<p>The system will provide the capability for SCERS staff to manually override plan detail and information.</p>	1
014.039	Payroll Deductions	System Data	<p>The system will provide the capability to separate the components of a deduction that may have combined benefits. For instance, a VSP deduction that is combined into a deduction for Sutter benefit health benefits will need to be separated out.</p>	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



014.040	Payroll Deductions	Web Portal	The system will provide the capability to link to the healthcare administrator's website at the end of the online retirement application process so that a benefit recipient can sign up for healthcare benefits.	2
014.041	Payroll Deductions	Benefit Calculations	The system will provide the capability to accommodate the processing of subsidies, when applicable, and recalculate benefits based on plan, tier, and service data.	2
014.042	Payroll Deductions	System Data	The system will provide the capability to store subsidy eligibility information and amount based on employer and service	1
014.043	Payroll Deductions	Batch Processing	The system will provide the capability to generate and accept HID files in a variety of formats including, but not limited to: <ul style="list-style-type: none"> • Text files (.txt) • Excel spreadsheet files • csv files • xml files 	2
014.044	Payroll Deductions	Batch Processing	The system will be capable of differentiating benefit recipients that are both Retirees and Beneficiaries receiving a benefit (continuance) and flagging so as not to duplicate their health deductions.	2
014.045	Payroll Deductions	Workflow & Case Management	The system will provide the capability for a SCERS user to manually upload and import the data files at any time.	2
015.001	Interest Posting	Benefit Data	The system will separately store, for each member, the contribution amounts by source: employer and member.	1
015.002	Interest Posting	Benefit Calculation	The system will provide the capability to separately calculate the interest earned on employer and member contributions and to store interest balances for each on a per member basis.	1
015.003	Interest Posting	Benefit Data	The system will separately store the amounts for reserve accounts that are not tied to individual accounts such as retiree, death benefits, and contingency.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



015.004	Interest Posting	Benefit Calculation	The system will calculate interest amounts using the total employer and employee reserve account balances as of the prior interest period interest posting plus/minus activities in the current interest period (e.g. active member adjustments/withdrawals, paid retiree benefits). June interest is calculated using the account balance as of the previous December 31 interest posting. December interest is calculated using the account balance as of the previous June 30 interest posting.	1
015.005	Interest Posting	Interfaces	The system will provide the capability to retrieve the posted 5-year treasury rate from a table in the database.	1
015.006	Interest Posting	Benefit Calculation	The system will provide the capability to calculate the annual crediting interest rate for member contributions as 50% of the 5-year treasury rate or the rate calculated for the other reserve accounts, whichever is lower.	1
015.007	Interest Posting	Benefit Calculation	The system will provide the capability to calculate the member semi-annual crediting interest rate (r) from the member annual crediting interest rate (i) according to the following equation: $r = (1+i)^{1/2} - 1$	1
015.008	Interest Posting	Benefit Calculation	The system will provide the capability to calculate the total interest for the current period (I) based on the semi-annual crediting interest rate (r) and the appropriate reserve account balance as of the prior six-month posting period plus/minus reserve transactions in the current six-month period (adjustments/withdrawals/benefits) (B) as follows: $I = r * B$	1
015.009	Interest Posting	System Data	The system will store an actuarially assumed interest rate that can be adjusted each period. A history of all assumed interest rates will also be stored in the system.	1
015.010	Interest Posting	Benefit Calculation	The system will provide the capability to limit the member crediting interest rate such that it does not exceed one-half of the actuarially assumed interest rate or one half of the target crediting rate for the other reserves based on the interest crediting policy.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



015.011	Interest Posting	Benefit Calculation	The system will provide the capability to bound the automatically calculated semi-annual crediting interest rate by 0.0% at the lower end. The crediting interest rate cannot be negative.	1
015.012	Interest Posting	Usability	The system will store a history of all credited interest rates, both annual and semi-annual.	1
015.013	Interest Posting	System Data	The system will provide the capability for SCERS to enter the dollar value of investment earnings available for interest crediting (after smoothing) each year prior to December 31 and will maintain a history of these values.	1
015.014	Interest Posting	Benefit Calculation	The system will provide the capability to determine whether funds need to be deposited or withdrawn from the contingency reserve, and the amount of those funds, based on the total credited interest.	1
015.015	Interest Posting	Eligibility	The system will calculate and post interest for account types that are eligible to earn interest: Active, Inactive, LOA, and Deferred, plus members who have left their contribution balance with SCERS but are not yet receiving their retirement benefit (i.e. all non-retired accounts with funds). The system will include partially refunded eligible accounts when calculating interest. All eligible accounts with a balance greater than \$0.00 will earn interest.	1
015.016	Interest Posting	System Data	The system will provide the capability to edit the list of member account types that earn interest.	2
015.017	Interest Posting	Validation	The system will validate that all active payroll contributions required to calculate interest for the interest period have been processed.	2
015.018	Interest Posting	Workflow & Case Management	The system will contain a workflow to guide the Interest Posting process and provide automation in the form of checklists, calendars, calculations, and other tools to support the tracking of documents and events involved in posting interest to contributions.	2
015.019	Interest Posting	Benefit Calculation	The system will provide an automated capability to calculate and post semi-annual interest to members' accounts.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



015.020	Interest Posting	Benefit Calculation	The system will round the calculated interest dollar amount to the nearest whole cent (\$.01)	1
015.021	Interest Posting	System Data	The system will allow values for the interest rate to 3 digits to the left of the decimal and 5 digits to the right of the decimal (999.99999%).	1
015.022	Interest Posting	Batch Processing	The system will provide the capability to create a trial interest posting prior to applying the semi-annual interest to the members' accounts for the purposes of testing. The trial interest posting will compute all interest amounts using the same rules and algorithms the actual interest posting uses.	2
015.023	Interest Posting	Batch Processing	The system will provide the capability to run interest crediting in order of the employee reserves followed by the remaining reserves at a later date.	2
015.024	Interest Posting	Batch Processing	The system will provide the capability to run an automated job to post and finalize the calculated interest to the members' accounts once the trial balance is approved.	2
015.025	Interest Posting	Batch Processing	The system will maintain an audit trail of the interest calculation and posting process that, at a minimum, logs and timestamps the start, warnings, errors, and the completion of the calculations and posting.	2
015.026	Interest Posting	Batch Processing	The system will post interest transactions in the amount of the interest calculated for the interest period.	2
015.027	Interest Posting	Contribution Data	The system will clearly identify interest transactions as interest by including the word 'INTEREST or 'INT' in the description or type of the transaction in the member record.	2
015.028	Interest Posting	Benefit Calculation	The system will provide the capability for SCERS to calculate and post interest manually for accounts and groups of accounts that have special circumstances.	2
015.029	Interest Posting	Batch Processing	The system will provide the capability to exclude from automated interest calculation and posting those accounts for which the interest calculation and posting was performed manually.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



015.030	Interest Posting	Batch Processing	The system will provide the capability for SCERS to flag individual member accounts as being ineligible to receive interest regardless of having an account balance and a non-retired status. The system will not post interest to these accounts in the batch process. This might occur, for example, if at the time of semi-annual interest posting, a member's retirement is pending and will be retroactive to a date prior to the interest posting date.	2
015.031	Interest Posting	Usability	The system will calculate interest, run trial balances, and post interest without impact to other system operations.	2
015.032	Interest Posting	Benefit Calculation	The system will provide the capability to recalculate and apply the correct interest amounts when adjustments are made to contributions in prior periods.	2
015.033	Interest Posting	Benefit Calculation	The system will provide the capability to calculate and post the necessary adjustments to interest, by interest posting date, at any time in the case of interest errors and maintain an audit trail of such adjustment transactions. Adjustments can be negative amounts with a warning to the SCERS user that negative amounts are about to be posted.	2
015.034	Interest Posting	Batch Processing	The system will provide interest calculation and posting capabilities that are entirely independent of importing current pay period payroll transactions. (Interest is calculated based on the cash balance after the previous interest posting, not the current cash balance.)	2
015.035	Interest Posting	Reports, Forms & Letters	The system will provide reports to validate member account balances as of a SCERS user-specified date prior to calculating semi-annual interest on the account.	2
015.036	Interest Posting	Reports, Forms & Letters	The system will provide reports to validate member account statuses as of a SCERS user-specified date prior to calculating interest on the account.	2
015.037	Interest Posting	Reports, Forms & Letters	The system will provide the capability to view data elements of the trial interest posting data grouped and subtotaled by various dimensions to aid in the validation of the totals.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



015.038	Interest Posting	Reports, Forms & Letters	<p>The system will provide a trial interest posting report that includes, at a minimum, the following data elements for viewing, saving and printing, for each member account:</p> <ul style="list-style-type: none"> • Prior six-month balance • Reserve activities in current six-month period • Total Contributions to date (\$) • Total Employer & Member Interest • Total Interest to date (\$) • Member ID on the account • First Name on account • Last Name on account • Account category or Category Status (Active, Retired, Inactive, Deferred, etc.) • Interest amount to be added (\$) to the account • New balance on account after interest is added (\$). 	2
015.039	Interest Posting	Reports, Forms & Letters	The system will provide the capability to generate reports and letters detailing corrections to erroneous interest postings.	2
015.040	Interest Posting	Reports, Forms & Letters	The system will provide the capability to report on exceptions discovered during interest posting (e.g. there was a balance in a prior interest crediting period, but the member is no longer active/eligible for crediting).	2
015.041	Interest Posting	System Data	The system will provide the capability for a SCERS user with administrative permissions to override interest calculations and post the amount manually, for extenuating circumstances.	2
015.042	Interest Posting	System Data	The system will provide the capability for a SCERS user with administrative permissions to manually override any previously entered or system-calculated interest rate for a particular semi-annual interest posting period at the individual member level to accommodate special circumstances. An adjustment can be made in a negative amount accompanied with a warning to the SCERS user that negative amounts are about to be posted.	2
015.043	Interest Posting	Workflow & Case Management	The system will provide the capability to mark posted interest transactions as "Pending" while the posting is being verified and reconciled.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



015.044	Interest Posting	Workflow & Case Management	The system will provide the capability to mark all Pending interest transactions as Reconciled once the interest posting has been verified.	2
015.045	Interest Posting	Workflow & Case Management	The system will provide the capability to mark an interest transaction as Reconciled. Such a transaction cannot be altered, except by a SCERS user with administrative permissions.	2
015.046	Interest Posting	Accounting	The system will include interest records in the G/L extract. Interest records include both the batched records and all subsequent adjustments, if any.	2
015.047	Interest Posting	Benefit Calculation	<p>The system will, for contributions that an employer pays on behalf of an employee, provide the capability to apply the employee interest rate of those contributions, instead of the employer rate.</p> <p>For instance, if an employer makes a retroactive payment of contributions to make up for under withholding from an employee, the employer may have to contribute the employee's portion of the payment. In this case, all the contributions and interest would go into the employer reserve, but the contributions paid on behalf of the employee would need to have interest credited at the employee's rate, not the employer's rate.</p>	1
015.048	Interest Posting	Benefit Calculation	<p>The system will provide the capability to separate and store contributions and interest for the following:</p> <ol style="list-style-type: none"> 1. Employer paid contributions – Interest credited at the employer rate. 2. Member paid contributions – Interest credited at the member rate. 3. Member contributions paid by the employer – Interest credited at the member rate. 	1
015.049	Interest Posting	Benefit Payments & Refunds	The system will provide the capability to consider contributions and the accrued interest that was paid by an employer for an employee, as non-refundable to the employee.	1
016.001	Member Statements	Reports, Forms & Letters	The system will generate statements for retired members receiving a benefit from SCERS and active or deferred members that have contributions on account as of the statement date.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



016.002	Member Statements	Reports, Forms & Letters	The system will not produce a printed statement for members that meet certain criteria at the discretion of SCERS, including, for example: <ul style="list-style-type: none"> • Members with balances of \$0.01 • Members with mailing addresses that have been flagged as undeliverable • Others as determined by SCERS 	2
016.003	Member Statements	System Data	The system will enable the SCERS user to select the effective date of the member statement period. The system will report all applicable member data as of that date inclusive.	1
016.004	Member Statements	Workflow & Case Management	The system will offer the SCERS user the option to begin the Member Statement process once the Interest Posting process has completed and it will allow for the projection of COLA/Special COLA amounts for retirees.	2
016.005	Member Statements	Benefit Data	The system will report the sum of the following balances on each Active Member's statement: <ul style="list-style-type: none"> • Net balance of Member's total contributions on account • Net balance of Member's total refundable interest on account 	1
016.006	Member Statements	Benefit Data	The system will not report an Active Member's employer contributions or non-refundable interest balances on Active Member statements.	1
016.007	Member Statements	Benefit Data	The system will, on Active Member statements, report the sum of the appropriate balances on the member's account as of the effective date entered by the SCERS user.	1
016.008	Member Statements	Person Data	The system will report the following information for each designated beneficiary on the statement <ul style="list-style-type: none"> • Beneficiary name • Beneficiary date of birth • Beneficiary relationship to Member/Retiree • Beneficiary's percent entitlement to the account in the event of the Member/Retiree's death 	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



016.009	Member Statements	Person Data	The system will report, on statements, the designated beneficiaries on the account as of the statement run date, including the beneficiary designations as primary, secondary, etc. and their percent share of the benefit, if applicable.	1
016.010	Member Statements	Reports, Forms & Letters	The system will provide the ability to show retirement estimates and the corresponding factors that are used in the calculation on benefit statements issued to Active Members eligible for retirement.	2
016.011	Member Statements	Reports, Forms & Letters	The system will provide the ability to show multiple estimates based on SCERS specified retirement timelines.	2
016.012	Member Statements	Reports, Forms & Letters	The system will report the COLA posting amount and/or percentage that was approved by the SCERS board of retirement on the retired member statements.	2
016.013	Member Statements	Reports, Forms & Letters	The system will report, on the member statement, the contributions and interest paid-to-date on the retired members account as of the statement run date.	2
016.014	Member Statements	Batch Processing	The system will provide capability to generate member statements with the option to either generate an extract file for use by a printing vendor or for in-house printing.	2
016.015	Member Statements	Batch Processing	The system will provide the capability to generate print output files for member statements in a number of file formats, including, but not limited to: <ul style="list-style-type: none"> • Adobe Acrobat PDF • Microsoft Word • Microsoft Excel • HTML • Rich Text File • Plain Text File 	2
016.016	Member Statements	Batch Processing	The system will provide the capability to issue an individual benefit statement and/or multiple statements by groups, batches, or the entire SCERS membership if needed.	2
016.017	Member Statements	Benefit Data	The system will provide the capability to enhance SCERS' active member statements with additional specific member data that may include:	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			<ul style="list-style-type: none"> • Member name • Current mailing address • Soc. Sec. Number (last 4 digits) • Department • Date of birth • Date of employment • Employment status • Plan (Miscellaneous or Safety) • Tier (1, 2, 3, 4, 5) • Entry age for contributions • Date of entry into the system • Beneficiary(s) • Years of credited service (all tiers) (excluding installments in process) • Detailed Service Credit information which will contain types of service (i.e. Military time, ARC, etc.) • Current retirement contribution • Total contributions for the year • Eligible Service Purchases available • Account Receivable Balance <p>Employee paid contribution balances as of statement date previous year broken down to Taxed, Taxable, Interest and Total for the following categories:</p> <ul style="list-style-type: none"> • Basic • Cost-of-Living Adjustment (COLA) • Total employee paid contributions and interest <p>Retirement benefit estimates for first eligible date</p> <ul style="list-style-type: none"> • Any other notes or important information (TBD) <p>The system will provide the capability to enhance SCERS' Retired Member statements with additional specific data that may include:</p> <ul style="list-style-type: none"> • Retired Member name • Current mailing address • Soc. Sec. Number (last 4 digits) • Date of birth • Plan (Miscellaneous or Safety) • Tier (1, 2, 3, 4, 5) • Beneficiary(s) • Cost-of-Living Adjustment (COLA) • Current payment amount (including all pay elements) 	
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Sacramento County Employees' Retirement System

RFP for Pension Administration System



016.018	Member Statements	Reports, Forms & Letters	The system will provide the capability to generate statements for both print generation and for display of electronic copy through the web portal.	2
016.019	Member Statements	Reports, Forms & Letters	The system will provide the capability to recall, display, and print a previously generated statement at any time.	2
016.020	Member Statements	Reports, Forms & Letters	The system will provide the capability for Retiree's and Members to access prior member statements through a Web Portal.	2
016.021	Member Statements	Reports, Forms & Letters	The system will provide a customizable benefit statement template that will allow SCERS to change the format, content, and layout of the annual statements at any time.	2
016.022	Member Statements	Reports, Forms & Letters	The system will provide the capability for SCERS to customize informational messages to be printed on statements for each statement run.	2
016.023	Member Statements	Reports, Forms & Letters	The system will provide capability to record and store statement effective date and other selection criteria associated with a statement production run.	2
016.024	Member Statements	Reports, Forms & Letters	The system will provide capability to produce statement detail reports for use in verification and validation.	2
016.025	Member Statements	Reports, Forms & Letters	The system will provide capability to produce statement summary reports for use in verification and validation.	2
016.026	Member Statements	Reports, Forms & Letters	The system will provide capability to produce a trial statement run, holding statements in a staging area, but not generating a print file or posting to member record until SCERS user executes the post option to keep the statements permanently.	2
016.027	Member Statements	Reports, Forms & Letters	The system will provide capability to produce all Active and Retired Member statement reports against a trial run.	2
016.028	Member Statements	Reports, Forms & Letters	The system will provide capability to post or cancel a statement trial run.	2
016.029	Member Statements	Reports, Forms & Letters	The system will provide the capability to clearly identify all dollar amounts on all statements as pre/post tax.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



016.030	Member Statements	Reports, Forms & Letters	The system will provide the capability to edit statement data prior to printing.	2
016.031	Member Statements	Reports, Forms & Letters	The system will provide the capability to re-print or view a specific benefit statement.	2
016.032	Member Statements	Workflow & Case Management	The system will provide the capability to initiate the Member Statement process at any time.	2
017.001	New Hire/Re-Hire	Person Data	The system will provide the capability to automatically enroll new employees in the SCERS pension plan, when data on new employees is received from a plan sponsor.	1
017.002	New Hire/Re-Hire	Person Data	<p>The system will provide the capability to identify the correct job category of a new member according to the following:</p> <ul style="list-style-type: none"> • Safety: employees appointed to a permanent position in law enforcement or fire suppression, and certain other classifications that are authorized in the County Annual Salary Resolution or by member district resolution. • Miscellaneous: employees appointed to permanent positions that are authorized in the County Annual Salary Resolution or by member district resolution but who are not eligible for Safety membership. 	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



017.003	New Hire/Re-Hire	Person Data	<p>The system will provide the capability to identify the tier of a new member, similar to the following rules:</p> <ul style="list-style-type: none"> • Misc. Tier 1: Had to be in membership before 9/27/81 to be eligible for Tier 1 • Misc. Tier 2: Began 9/27/81; members had various election periods generally by rep units to elect membership in Tier 3 • Misc. Tier 3: Began 6/27/93 • Misc. Tier 4: Began 1/1/12; excluded rep units 022, 023, 026 and 028 until 8/26/12 • Misc. Tier 5: Began 1/1/13 • Safety Tier 1: Had to be in membership before 6/25/95; however certain rep units still could hire employees into Safety Tier 1 because they were not yet included into Safety Tier 2 • Safety Tier 2: Began 6/25/95; excluded Probation until 6/23/96; excluded Park Rangers until 2/11/01 • Safety Tier 3: Began 1/1/12 • Safety Tier 4: Began 1/1/13 <p>A new member who has incoming reciprocity with a start date with the reciprocal system prior to 1/1/13 and establishes reciprocity will be placed in the last open plan for the job classification hired into.</p> <p>A member who was on deferred status under one plan/tier (e.g., miscellaneous) and is rehired into a job class that requires a different plan (e.g., safety), will be placed in the last open plan/tier for the new job class.</p>	1
017.004	New Hire/Re-Hire	Person Data	<p>The system will provide the capability to restrict employees who are over 60 years of age and have submitted a waiver of membership application to SCERS. To receive a waiver of membership is irrevocable.</p>	1
017.005	New Hire/Re-Hire	Person Data	<p>The system will contain a flag on the record of employees who have opted out of SCERS. Such employees will not have service credits posted.</p>	2
017.006	New Hire/Re-Hire	Benefit Payments & Refunds	<p>The system will provide the capability to issue a refund of any received contributions if applicable to an employee who has opted out of SCERS.</p>	2
017.007	New Hire/Re-Hire	Validation	<p>The system will provide a notification if contributions are still being received for</p>	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			employees who have opted out of the system.	
017.008	New Hire/Re-Hire	Reports, Forms & Letters	The system will provide the capability to generate a letter to an incoming employee that has expressed interest in waiving SCERS membership. The letter will contain information such as sample projected benefit estimates.	2
017.009	New Hire/Re-Hire	Web Portal	The system will contain as part of the member web portal a new Member Affidavit that can be filled out and sent in remotely by new hires, re-hires, and transfers.	2
017.010	New Hire/Re-Hire	Web Portal	The system will ensure a new Member Affidavit form on the member web portal will contain verifications to ensure that the form is fully completed and correctly formatted before being sent.	2
017.011	New Hire/Re-Hire	Workflow & Case Management	The system will provide the capability to track the status of a Member Affidavit.	2
017.012	New Hire/Re-Hire	Workflow & Case Management	The system will contain a workflow that is triggered when a new Member Affidavit is received from the member web portal. Part of this workflow will include automatically importing the data into the member record and flagging for follow-up if necessary.	2
017.013	New Hire/Re-Hire	Reports, Forms & Letters	The system will provide the capability to generate a report containing a list of new members and the status of their Member Affidavits.	2
017.014	New Hire/Re-Hire	Reports, Forms & Letters	The system will provide the capability to produce a reminder letter to be sent to incoming members that have not sent in their Member Affidavit within a period specified by SCERS. Follow-up letters may be sent as necessary on a recurring schedule until the affidavit is received.	2
017.015	New Hire/Re-Hire	Person Data	The system will provide the capability to classify employees as re-hired / assign a re-hired status to members during the enrollment process.	2
017.016	New Hire/Re-Hire	Person Data	The system will be able to consolidate the data for a re-hire, including past service, contributions, and any funds on deposit.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



017.017	New Hire/Re-Hire	Person Data	The system will have the capability to automatically update the entry date of a re-hire with funds on deposit based on past membership data, but will maintain historical data values.	2
017.018	New Hire/Re-Hire	Reports, Forms & Letters	The system will, upon a change to entry date, plan, or tier, automatically send a notification to the employer and member advising them of the adjustment.	2
017.019	New Hire/Re-Hire	Person Data	The system will have the capability to retain the previous plan and tier level for re-hires with contributions on deposit when SCERS specified requirements are met.	2
017.020	New Hire/Re-Hire	Person Data	The system will contain a flag on the member record to indicate re-hires that have changed tiers from their prior membership in SCERS. All history of prior tier membership will be maintained in the member record.	2
017.021	New Hire/Re-Hire	Workflow & Case Management	The system will contain a workflow to guide the redeposit process where applicable and ensure that redeposits to re-enter are processed for those requests that are received within 30 days of the member being sent a notice to re-deposit from SCERS.	2
017.022	New Hire/Re-Hire	Purchase of Service	The system will be able to identify re-hires that are eligible to provide a redeposit, and initiate the purchase process.	2
017.023	New Hire/Re-Hire	Person Data	The system will have the capability to re-establish a re-hire into their prior tier once a redeposit to re-enter has been submitted and processed.	2
017.024	New Hire/Re-Hire	Person Data	The system will be able to identify past service available for purchase by a re-hire and flag for initiating the purchase process.	2
017.025	New Hire/Re-Hire	Person Data	The system will provide the capability to identify transfers that were classified as extra help/temporary employees before joining SCERS by placing a flag on their record. Such members may be eligible to purchase some or all of that extra help/temporary time.	2
017.026	New Hire/Re-Hire	Person Data	The system will provide the capability to track multiple hire dates to record breaks in service properly (i.e., store the initial hire date in addition to the rehire date as a separate hire	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			date).	
017.027	New Hire/Re-Hire	Eligibility	The system will provide the capability to measure the duration after which a member has retired. If the member is rehired as a retired annuitant by a SCERS Participating Employer, the duration will be used to confirm the member as a retired annuitant based on the following timelines being observed from the date of retirement: <ul style="list-style-type: none"> • 60 days for a Safety member • 180 days for a Miscellaneous member 	1
017.028	New Hire/Re-Hire	Eligibility	The system will provide the capability to verify retired annuitant eligibility according to the following additional rule: <ul style="list-style-type: none"> • The retiree cannot return to a position or position with similar duties from which he/she is receiving a disability retirement benefit. 	1
017.029	New Hire/Re-Hire	Eligibility	The system will provide the capability to track the number of paid hours a retired annuitant works in an annual period. If the number of paid hours in one year exceeds 960, a flag will be raised on the member record.	1
017.030	New Hire/Re-Hire	Benefit Payments & Refunds	The system will provide the capability to suspend the retirement benefit for a retired annuitant who works more than 960 paid hours in an annual period. The member status will be changed to reinstatement.	1
017.031	New Hire/Re-Hire	Reports, Forms & Letters	The system will provide the capability to auto-generate a letter to the member upon benefit suspension and subsequent status change for reinstated retired annuitants who exceed the 960-hour work limit.	2
017.032	New Hire/Re-Hire	Eligibility	The system will provide the capability to manually override the automated retiree rehire classification due to exceptions (e.g. an emergency appointment).	2
017.033	New Hire/Re-Hire	Benefit Payments & Refunds	The system will provide the capability to automatically suspend a retiree's benefit upon rehire and classification as a reinstatement. The member is returned to active employment in the system.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



017.034	New Hire/Re-Hire	Service Data	The system will provide the capability to track retired annuitant service hours per calendar/fiscal year between all SCERS participating employers the retired annuitant may be working for. A hard cap of 960 hours per year is imposed; before the cap is reached the member record is flagged based on a SCERS specified time and the retired annuitant will no longer be permitted to receive additional compensation from SCERS participating employers for the remainder of the year.	1
017.035	New Hire/Re-Hire	Reports, Forms & Letters	The system will be capable of generating a letter prior to the retired annuitant cap being reached within a SCERS specified time.	2
017.036	New Hire/Re-Hire	Service Data	The system will provide the capability to track pay elements relating to retirement incentives.	2
017.037	New Hire/Re-Hire	Person Data	The system will contain a flag on the member record to indicate whether a retiree has received a retirement incentive.	2
017.038	New Hire/Re-Hire	Reports, Forms & Letters	The system will provide the capability to generate an automated welcome letter for new members as well as address label files if the member is added via the payroll transmittal file or manually.	2
017.039	New Hire/Re-Hire	Usability	The system will provide the capability to create alerts or reminders for sending a packet or other correspondence.	2
017.040	New Hire/Re-Hire	Reports, Forms & Letters	The system will provide the capability to create a new member enrollment report with information on the current status within the process (e.g., Member enrolled in PAS, welcome letter sent, missing form, etc.)	2
017.041	New Hire/Re-Hire	Reports, Forms & Letters	The system will provide the capability to generate an Edit Report showing all member status changes over a given period (e.g. left plan with funds on deposit, rejoined plan, etc.).	2
017.042	New Hire/Re-Hire	Workflow & Case Management	The system will provide the capability to implement a workflow to record, track and report the status of new hire and re-hire enrollment process steps.	2
017.043	New Hire/Re-Hire	Usability	The system will provide the capability to create new statuses for members without the need for programming updates.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



017.044	New Hire/Re-Hire	Usability	The system will provide the capability to update membership eligibility requirements without the need for programming updates.	2
017.045	New Hire/Re-Hire	Usability	The system will provide the ability for SCERS to add new plan and tiers based on future law changes	2
017.046	New Hire/Re-Hire	Interfaces	The system will provide the capability to create new member record from payroll transmittal files.	2
017.047	New Hire/Re-Hire	Interfaces	The system will provide the capability to handle interface files from different payroll systems in different standard file formats (e.g. CSV, Excel, XML, etc.).	2
017.048	New Hire/Re-Hire	Interfaces	The system will provide the capability to support automatic member enrollment for each of the payroll interface files via a wizard interface.	2
017.049	New Hire/Re-Hire	Reports, Forms & Letters	The system will provide the capability to produce reports containing eligible new hires who appear in the payroll transmittal file.	2
017.050	New Hire/Re-Hire	Person Data	The system will provide the capability to flag a record of an Elected Official who has elected membership.	1
017.051	New Hire/Re-Hire	Service Data	When a plan/tier change on a member is due to incoming reciprocity being established and after payroll has posted, the system will provide the capability to move the existing service, contributions, and interest to the new plan/tier.	2
018.001	New Retiree Benefit Setup	Reports, Forms and Letters	The system will produce a Retirement Application form that is populated with benefit recipient-specific information taken from the benefit recipient's record in the system. The form will be bar coded to identify the specific member and form type.	1
018.002	New Retiree Benefit Setup	Reports, Forms & Letters	The system will provide the capability for the SCERS user to issue a letter to the member requesting additional information or forms that may be missing upon review of the member's application materials. The letter should include a customizable checklist, the composition of which is selected by the SCERS user.	1
018.003	New Retiree	Workflow & Case	The system will allow the SCERS user to modify the Board meeting date at which a	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



	Benefit Setup	Management	member's Retirement Application will be reported.	
018.004	New Retiree Benefit Setup	Workflow & Case Management	The system will kick-off a workflow case when a Retirement Application has been generated either by SCERS staff and mailed to the member, or by the member through the web portal self-service.	2
018.005	New Retiree Benefit Setup	Workflow & Case Management	The system will allow the SCERS user to suspend the Service Retirement workflow pending receipt of needed documents or information.	1
018.006	New Retiree Benefit Setup	Workflow & Case Management	The system will provide an automated checklist to assist the benefit recipient and Retirement Benefits Specialist in completing the member's file review.	1
018.007	New Retiree Benefit Setup	Workflow & Case Management	The system will alert or remind the SCERS user to complete the processing of the Retirement Application on the day of the member's final paycheck has been issued.	1
018.008	New Retiree Benefit Setup	Workflow & Case Management	<p>The system will require the SCERS user to actively verify that the member's retirement application is complete. This verification may include marking a checklist of required items that may include, but will not be limited to, the following examples as they are applicable to the individual member:</p> <ul style="list-style-type: none"> • Service Retirement Application is complete, including signature of member and spouse, if applicable • Copy of primary beneficiary(ies) certified birth certificate • Copy of certified Marriage or Registration Certificate (if beneficiary) • Court endorsed marital dissolution documents/DRO • Social Security Benefit Estimate, current within one year • Federal and CA State tax withholding forms • Member Affidavit form • Service Retirement sign-off form • Sick Leave cash-out form (County Management only) • Authorized Agreement for Automatic Deposit • Medical, Dental, and Vision Insurance Authorization Forms • A recognized Retiree Association form • Social Security Modification Acknowledgment 	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			Form • If reciprocal, date member applied	
018.009	New Retiree Benefit Setup	Eligibility	The system will enforce the rules of eligibility for service retirement benefits based on member's tier (1, 2, 3, 4, and 5) and plan (Miscellaneous or Safety).	2
018.010	New Retiree Benefit Setup	Eligibility	The system will enforce the following service retirement eligibility rules for Miscellaneous Members: Tiers 1/2/3/4: • Age 50 and 10 years of service • 30 years of service, regardless of age • Age 70, regardless of service Tier 5 • Age 52 and 5 years of service 10 year eligibility is considered met if SCERS service and deferred service combine equals 10 years or greater. Eligibility is also met if 10 years is accumulated by a combination of service from SCERS and reciprocal system.	2
018.011	New Retiree Benefit Setup	Eligibility	The system will enforce the following retirement eligibility rules for Safety Members: Tiers 1/2/3: • Age 50 and 10 years of service • 20 years of safety service, regardless of age • Age 70, regardless of service Tier 4: • Age 50 and 5 years of service 10 year eligibility and 20 years of safety service eligibility is considered met if SCERS service and deferred service combined equals 10 or 20 years (respectively). Eligibility is also met if service is accumulated by a combination of service from SCERS and reciprocal system.	2
018.012	New Retiree Benefit Setup	Eligibility	The system will enforce the eligibility rule that eligible deferred members in specified tiers that have reached 70 years of age are eligible for retirement benefits regardless of service.	2
018.013	New Retiree Benefit Setup	Eligibility	The system will utilize the sum of the member's service credit under all reciprocal systems to determine eligibility for retirement allowance from SCERS, provided that the member retires concurrently from all reciprocal	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			systems.	
018.014	New Retiree Benefit Setup	Eligibility	The system will provide notification to the SCERS user regarding the reasons why a member may not currently meet eligibility requirements based on existing information in the system, including if the member has established reciprocity but reciprocal service has not yet been input in the system.	2
018.015	New Retiree Benefit Setup	Eligibility	The system will verify retirement eligibility based on the member's requested retirement date.	2
018.016	New Retiree Benefit Setup	Eligibility	The system will enforce the rules of eligibility for retirement benefits based on member's tier (1, 2, 3, 4, and 5) and plan (Miscellaneous or Safety).	2
018.017	New Retiree Benefit Setup	Usability	The system will provide the capability for SCERS staff to perform a manual override of eligibility requirements.	2
018.018	New Retiree Benefit Setup	Eligibility	The system will enforce the following NSCD eligibility rules for all members: <ul style="list-style-type: none"> • Any age with 5 years of service • Eligibility is also met with a combination of SCERS and reciprocal system service. The system will enforce the eligibility rules for SCD/Service connected deaths: <ul style="list-style-type: none"> • Any age and any service 	1
018.019	New Retiree Benefit Setup	Eligibility	The system will enforce the eligibility rules for SCD/Service connected deaths: <ul style="list-style-type: none"> • Any age and any service 	2
018.020	New Retiree Benefit Setup	Validation	The system will not allow a SCERS user to input a member's retirement date that is prior to or equal to the member's termination date.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



018.021	New Retiree Benefit Setup	Eligibility	The system will alert the SCERS user if the Application Received date entered is greater than 60 days prior to the Retirement Date entered and will not permit a new retiree benefit set-up to commence until the Application Received Date or Retirement Date are modified to meet these criteria. The 60 day range should be a parameter that is easily configurable by SCERS, should this rule change.	2
018.022	New Retiree Benefit Setup	Workflow & Case Management	The system will allow the SCERS user to suspend the New Retiree Benefit Set-up workflow pending receipt of modified application or materials from the member if needed.	2
018.023	New Retiree Benefit Setup	Benefit Data	The system will default the state and federal tax withholding factors to married with three allowances if (California resident) the benefit recipient's tax withholding elections are not input.	1
018.024	New Retiree Benefit Setup	Benefit Data	The system will allow the default state and federal tax withholding factors to be changed at any time.	1
018.025	New Retiree Benefit Setup	Benefit Data	The system will allow for the election of standard tax table withholding, a percentage of total payment, a flat dollar amount to be withheld from retirement benefits, or a combination thereof, according to what is allowable by each organization (State and Federal).	1
018.026	New Retiree Benefit Setup	Benefit Data	The system will allow for a benefit recipient to elect no taxes to be withheld from a benefit.	1
018.027	New Retiree Benefit Setup	Benefit Data	The system will allow for no state taxes to be withheld on benefits paid to members residing outside of California.	1
018.028	New Retiree Benefit Setup	Benefit Calculation	The system will calculate the member's age on the retirement date to the highest quarter year completed for use in selecting the appropriate age factor to be used in the retirement calculation. For example: If the member's date of birth is 8/8/1944 and his date of retirement will be 12/15/2004, then his age at retirement will be: 60 ¼.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



018.029	New Retiree Benefit Setup	System Data	The system will utilize age factor tables corresponding with the appropriate sections of the California Employees Retirement Law of 1937 as listed below. Miscellaneous Plan • Tier 1-3: Section 31676.14 • Tier 4: Section 31676.1 • Tier 5: Section 7522.20 Safety Plan • Tier 1 & 2: Section 31664.1 • Tier 3: Section 31664.2 • Tier 4: Section 7522.25(d)	1
018.030	New Retiree Benefit Setup	Benefit Calculation	The system will provide the capability to, in the case of a blended retirement where the member is retiring with service from more than one plan/tier, calculate the benefits separately for each plan/tier combination applicable to the member and then sum the member's separately calculated benefits to determine the total retirement allowance.	1
018.031	New Retiree Benefit Setup	Benefit Calculation	The system will provide the capability to, in the case of blended service, generate benefit estimates that reflect the appropriate total retirement allowance resulting from the blended service based on the date of retirement selected.	1
018.032	New Retiree Benefit Setup	Benefit Calculation	The system will generate benefit estimates for blended service that reflect detail regarding the portions of the member's retirement allowances that are derived from each plan/tier included in the benefit estimate calculation, including the social security modification option.	1
018.033	New Retiree Benefit Setup	Benefit Calculation	The system will be capable of accommodating two dates of retirement in benefit calculation for members with service in more than one tier but who do not qualify to retire from both plan/tiers at the same time, if SCERS is mandated to in the future. The system will be capable of calculating FAS with both a one year and a three-year salary in this scenario.	1
018.034	New Retiree Benefit Setup	Eligibility	The system will provide the capability to adhere to multiple plan/tier eligibility requirements when calculating a benefit estimate for a blended retirement.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



018.035	New Retiree Benefit Setup	Benefit Calculation	<p>The system will enforce the following benefits and rules if the member has chosen an Unmodified Option:</p> <ol style="list-style-type: none"> 1. A 60% continuing monthly benefit to a surviving spouse/RDP or eligible minor children. If the designated beneficiary has become a spouse or registered domestic partner within one year immediately preceding the member's retirement date the election must be flagged for SCERS' staff to review. 2. A 100% continuing monthly benefit to the deceased member/non-member's surviving spouse/RDP, if the member was receiving a service-connected disability retirement allowance and the member was married when the member became disabled prior to the effective date of the SCDR. 3. If the surviving spouse/RDP named as the Survivor Beneficiary at time of retirement predeceased the member/non-member, the continuing monthly benefit will be paid collectively to the member's minor children until the last child marries, reaches age 18 (age 22 if a full-time student in an accredited school) or dies, whichever comes first. 4. If the member/non-member has no spouse/RDP or eligible minor children at the time of retirement, a continuing monthly benefit is not available. This option then provides for a lump sum payment to the member/non-member's named beneficiary or the member/non-member's Estate of any balance remaining from the member/non-member's accumulated regular contributions less the sum of all payments made to the member/non-member. 5. If the member/non-member elected the Social Security Modification at retirement, the continuance will be based on the non-modified benefit and the Retirement Option selected. 	1
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Sacramento County Employees' Retirement System

RFP for Pension Administration System



018.036	New Retiree Benefit Setup	Benefit Calculation	The system will enforce the following benefits and rules if the member has chosen Option 1. 1. A reduced retirement allowance, as calculated by the factor provided by the SCERS actuary. 2. A lump sum payment to the member's beneficiary of any balance from the member's accumulated regular contributions and interest less the sum of monthly annuity payments received by the member before the member's death. 3. An opportunity to change the named beneficiary after the member's retirement for any reason.	1
018.037	New Retiree Benefit Setup	Benefit Calculation	The system will use the following general formula for the calculation of the Option 1 benefit. Where: Monthly Retirement Allowance = Unmodified Benefit * Applicable Option 1 Factor	1
018.038	New Retiree Benefit Setup	Benefit Calculation	The system will enforce the following benefits and rules if the member has chosen Option 2: 1. A reduced retirement allowance, as calculated by the factor provided by the SCERS actuary and based upon the difference in age between the member and the member's beneficiary. The younger the member's beneficiary is in relation to the member, the larger the reduction to the member's benefit will be. 2. A continuance of 100% of the reduced unmodified benefit due to the application of the option factor. 3. No opportunity to change the named beneficiary after the member's retirement should the member's beneficiary die before the member.	1
018.039	New Retiree Benefit Setup	Benefit Calculation	The system will properly apply the survivor's age factors from the table provided by SCERS (IRC Table) to the calculated Option 2 survivor benefit in cases where the member selects a non-spousal beneficiary who is ten or more years younger than the member.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



018.040	New Retiree Benefit Setup	Benefit Calculation	The system will use the following formulas for the calculation of the Option 2 benefit. Monthly Retirement Allowance = Unmodified Benefit * Applicable Option 2 Factor	1
018.041	New Retiree Benefit Setup	Benefit Calculation	The system will enforce the following benefits if the member has chosen Option 3: 1. A reduced retirement allowance, as calculated by the factor provided by the SCERS actuary and based upon the difference in age between the member and the member's beneficiary. The younger the beneficiary is in relation to the member, the larger the reduction to the member's benefit will be. 2. A 50% continuing monthly benefit to the member's beneficiary. 3. No opportunity to change the named beneficiary after the member's retirement should the member's beneficiary die before the member.	1
018.042	New Retiree Benefit Setup	Benefit Calculation	The system will use the following formulas for the calculation of the Option 3 benefit. Monthly Retirement Allowance = Unmodified Benefit * Applicable Option 3 Factor	1
018.043	New Retiree Benefit Setup	Report, Forms & Letters	The system will provide the ability to create a request for the SCERS actuary to calculate the benefit for a member that selects Option 4.	1
018.044	New Retiree Benefit Setup	Benefit Calculations.	The system will provide the capability to calculate a compound (Option 4) benefit based on information provided by the SCERS actuary.	1
018.045	New Retiree Benefit Setup	Benefit Data	The system will not allow a change of retirement option after the member's retirement benefit has begun, unless the member is approved for a Service Connected Disability Retirement with an eligible spouse/RDP or minor child(ren) after the service retirement date.	1
018.046	New Retiree Benefit Setup	Benefit Data	The system will provide the capability for a SCERS user to change a member's retirement option due to the member being approved for a Service Connected Disability Retirement after the Service Retirement date.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



018.047	New Retiree Benefit Setup	Benefit Data	The system will provide the capability to determine the Service Retirement Benefit Options available to the retiring member.	1
018.048	New Retiree Benefit Setup	Benefit Data	The system will allow only those Retirement Options that are appropriate to the member.	1
018.049	New Retiree Benefit Setup	Benefit Data	The system will provide the capability to record the Option the member has chosen.	1
018.050	New Retiree Benefit Setup	Benefit Data	The system will provide the capability to derive and record the final retirement benefit amount based on the Retirement Option that the member selected.	1
018.051	New Retiree Benefit Setup	System Data	The system will store and access the various actuarially derived option and annuity factor tables necessary for use in benefit options calculations as provided by SCERS' actuarial firm or the California Employee's Retirement Law of 1937, as amended.	1
018.052	New Retiree Benefit Setup	System Data	The system will provide the capability to assign different actuarial option and annuity factors to different plans/tiers of service and types of retirement, rather than applying one set of factors to all benefit calculations.	1
018.053	New Retiree Benefit Setup	Workflow & Case Management	The system will issue a reminder for a waiver when the spouse is not the beneficiary but the member is married.	2
018.054	New Retiree Benefit Setup	Usability	The system will provide the capability to override the option election on a benefit recipient's account when an authorized SCERS user determines that it's necessary.	1



018.055	New Retiree Benefit Setup	Benefit Data	<p>The system will calculate the Social Security Modification amounts and the adjusted retirement benefit amounts using the Social Security Modification adjustment factors provided in the appropriate tables. The calculation result must be greater than \$0. The table below provides an example of the calculation.</p> <table border="1" data-bbox="750 583 1328 1831"> <thead> <tr> <th></th> <th>Miscellaneous Tier 1</th> <th>Safety Tier 1</th> </tr> </thead> <tbody> <tr> <td>Social Security Estimate</td> <td>\$1500.00</td> <td>\$1500.00</td> </tr> <tr> <td>Temporary Annuity Factor, Age 55</td> <td>X 0.5141</td> <td>X 0.5068</td> </tr> <tr> <td>Temporary Annuity</td> <td>\$771.15</td> <td>\$760.20</td> </tr> <tr> <td colspan="3">Monthly Retirement before age 62</td> </tr> <tr> <td>Retirement Allowance</td> <td>\$3,431.10</td> <td>\$4,494.47</td> </tr> <tr> <td>Add Temporary Annuity</td> <td>771.15</td> <td>760.20</td> </tr> <tr> <td>Total Monthly Benefit</td> <td>\$4,202.25</td> <td>\$5,254.67</td> </tr> <tr> <td colspan="3">Monthly Retirement after age 62</td> </tr> <tr> <td>Monthly Benefit Before age 62</td> <td>\$4,202.25</td> <td>\$5,254.67</td> </tr> <tr> <td>Subtract Social Security Estimate</td> <td>-1,500.00</td> <td>-1,500.00</td> </tr> <tr> <td>Monthly Benefit from SCERS</td> <td>\$2,702.25</td> <td>\$3,754.67</td> </tr> <tr> <td>Monthly Benefit from Social Security</td> <td>1,500.00</td> <td>1,500.00</td> </tr> <tr> <td>Total Monthly Benefit</td> <td>\$4,202.25</td> <td>\$5,254.67</td> </tr> </tbody> </table>		Miscellaneous Tier 1	Safety Tier 1	Social Security Estimate	\$1500.00	\$1500.00	Temporary Annuity Factor, Age 55	X 0.5141	X 0.5068	Temporary Annuity	\$771.15	\$760.20	Monthly Retirement before age 62			Retirement Allowance	\$3,431.10	\$4,494.47	Add Temporary Annuity	771.15	760.20	Total Monthly Benefit	\$4,202.25	\$5,254.67	Monthly Retirement after age 62			Monthly Benefit Before age 62	\$4,202.25	\$5,254.67	Subtract Social Security Estimate	-1,500.00	-1,500.00	Monthly Benefit from SCERS	\$2,702.25	\$3,754.67	Monthly Benefit from Social Security	1,500.00	1,500.00	Total Monthly Benefit	\$4,202.25	\$5,254.67	
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Sacramento County Employees' Retirement System

RFP for Pension Administration System



018.056	New Retiree Benefit Setup	Benefit Calculation	The system will provide the capability to include the Social Security Modification in the retirement benefit calculation.	1
018.057	New Retiree Benefit Setup	Benefit Calculation	The system will allow the Social Security Modification to be applied to service retirement benefits but not to disability retirement benefits.	1
018.058	New Retiree Benefit Setup	Benefit Calculation	The system will calculate Age using factors provided by the SCERS actuary for the purposes of Social Security Modification calculation.	1
018.059	New Retiree Benefit Setup	Benefit Calculation	The system will allow the Social Security Modification only for members who elected to receive a modification and provided an estimate from Social Security benefits for age 62/65.	2
018.060	New Retiree Benefit Setup	System Data	The system will provide the capability to store and access all values and adjustment factors relevant to the Social Security Modification calculation for all Retirement Options available to the member.	1
018.061	New Retiree Benefit Setup	System Data	The system will provide the capability for SCERS to update the Social Security Modification adjustment factor tables each time the actuarial assumptions change for SCERS.	1
018.062	New Retiree Benefit Setup	Benefit Calculation	The system will provide the capability to automate Service Credit calculations reliably and accurately based on data in the system.	1
018.063	New Retiree Benefit Setup	Benefit Calculation	The system will provide the ability to accommodate for a category of service that is tied to retirement eligibility, and another for a category of service that is tied to the benefit calculation.	1
018.064	New Retiree Benefit Setup	Benefit Calculation	The system will ensure that members may not exceed one (1) year of service time in any given plan year (a current exception to this is for those that work a 7/12 schedule or receive a K-9 allowance). Service time granted due to service purchases or reciprocal service time is excluded from this consideration. Therefore, the system must cap service time that is worked at one (1) year per plan year.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



018.065	New Retiree Benefit Setup	Benefit Calculation	The system shall dynamically update service, contributions, and compensation earnable for each member record upon the posting of the active payroll interface file each pay cycle.	1
018.066	New Retiree Benefit Setup	Benefit Calculation	The system must provide the ability to store and automatically propagate, maintain and utilize multiple payroll calendars (i.e., monthly, biweekly, semi-monthly, etc.) when determining Service Credit.	1
018.067	New Retiree Benefit Setup	Benefit Calculation	The system will calculate a member's service using total service credit hours from Date of Entry to Date of Last Day Paid, including (as applicable): <ul style="list-style-type: none"> • service credit added through a completed buyback contract • service credit added through converting excess sick time to service credit (used for Retirement Service, but not in Eligibility Service) • service credit added through reciprocal service (used as Eligibility Service only, but not in Retirement Service) 	1
018.068	New Retiree Benefit Setup	Benefit Calculation	The system will include service gained through a completed buyback contract for lost time to the calculation of a member's Service Credit.	1
018.069	New Retiree Benefit Setup	Benefit Calculation	The system will automatically include reciprocal service existing and entered by a SCERS user in the system for eligibility service for vesting purposes only, not in retirement benefit calculation.	1
018.070	New Retiree Benefit Setup	Benefit Calculation	The system will have the ability to calculate service earned in multiple plans/tiers separately and apply the service to separate benefit calculations for each plan/tier.	1
018.071	New Retiree Benefit Setup	Benefit Calculation	The system will be capable of converting a member's excess sick leave into service credit using the following formula: Years of service credit converted from excess sick leave = excess sick leave hours / 2,088 SCERS obtains the number of hours to be converted from the employer and will input the number of hours into the system for conversion.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



018.072	New Retiree Benefit Setup	Benefit Data	The system will provide the capability for an authorized SCERS user to manually override system-calculated Service Credit and enter a hand-calculated amount that may include data not available to the system's calculation.	1
018.073	New Retiree Benefit Setup	Benefit Data	The system will provide the capability for an authorized SCERS user to input additional service credit for service earned but not otherwise recorded in the system and include it in the calculation of a member's Service Credit.	1
018.074	New Retiree Benefit Setup	Benefit Data	The system will provide the capability for SCERS to add/change service types to be included in the calculation of total service	1
018.075	New Retiree Benefit Setup	Usability	The system will provide the capability to allow a SCERS user to override eligibility requirements for service.	1
018.076	New Retiree Benefit Setup	Benefit Calculations	The system will provide the capability to utilize service for calculation purposes in a non-member's account based on the community property split/time period specified in the DRO.	1
018.077	New Retiree Benefit Setup	Benefit Calculation	The system will prorate the first pay period based on the member's Date of Hire, if the Date of Entry does not fall on the first day of the pay period, when calculating total possible accumulated hours earnable for the member based on the appropriate Accumulated Hours Table.	1
018.078	New Retiree Benefit Setup	Benefit Calculation	The system will prorate the last pay period based on the member's Date of Last Day Paid, if the Date of Last Day Paid does not fall on the last day of the pay period, when calculating total possible accumulated hours earnable for the member based on the appropriate Accumulated Hours Table.	1
018.079	New Retiree Benefit Setup	Benefit Calculation	The system will provide the capability to identify and calculate possible lost time in a member's work history as the difference between the actual accumulated pensionable hours earned by the member and the total possible earnable hours between the member's Date of Entry and Date of Last Day Paid.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



018.080	New Retiree Benefit Setup	Benefit Calculation	The system will, if lost time is present, indicate to the user that lost time may be includable in the total service through a buyback, subject to further analysis and required documentation, if necessary, of the eligibility of the lost time for buyback.	1
018.081	New Retiree Benefit Setup	Benefit Calculation	The system will, during the generation of a benefit estimate, generate a buyback estimate based on purchasable lost time identified in the member's employment record and provide the user with the option to view or include the buyback estimate in the benefit estimate, whether performed by SCERS or by the member through the web portal.	1
018.082	New Retiree Benefit Setup	Benefit Data	The system will be capable of identifying lost time based on payroll or leave codes transmitted by the employer in active payroll, if available.	1
018.083	New Retiree Benefit Setup	Reports, Forms & Letters	The system will provide the capability to display, save, and print a report of possible lost time identified by the system using the Accumulated Hours method. This report will include, but is not limited to, the following data: <ul style="list-style-type: none"> • Sum of possible lost time expressed as hours • Listing of pay periods in which the member's hours earned do not match the possible hours earnable • Hours lost by pay period 	2
018.084	New Retiree Benefit Setup	System Data	The system will accommodate multiple work schedules and pay cycles to identify discrepancies that could represent lost time in the member's work history.	1
018.085	New Retiree Benefit Setup	Benefit Data	The system will maintain record of the benefit recipient's original benefit option annuity and pension amounts applicable to their account when a new retiree benefit set-up occurred.	1
018.086	New Retiree Benefit Setup	Benefit Data	The system will provide an automated capability to verify the final bi-weekly/monthly payroll records for the member has been imported based on the member's employer and termination date.	1
018.087	New Retiree Benefit Setup	Benefit Data	The system will provide an automated capability to calculate the member/benefit recipient's service for multiple tiers and plan of service.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



018.088	New Retiree Benefit Setup	Benefit Payments & Refunds	The system will provide the capability for the SCERS user to specify multiple types of deductions and amounts to be withheld or deducted from the new benefit recipient's monthly benefit. These may include, but are not limited to, the following. <ul style="list-style-type: none"> • State tax withholding • Federal tax withholding • Membership dues • Wage garnishments • Assignment pay • Healthcare premiums 	2
018.089	New Retiree Benefit Setup	Benefit Payments & Refunds	The system will allow input of the benefit recipient's direct deposit banking information when establishing a new retiree benefit.	2
018.090	New Retiree Benefit Setup	Benefit Payments & Refunds	The system will allow the SCERS user to change the benefit recipient's direct deposit banking information at any time subsequent to a new retiree benefit set-up.	2
018.091	New Retiree Benefit Setup	Benefit Payments & Refunds	The system will provide the capability to split a benefit recipient's gross monthly benefit, either by dollar amount or percentage, between the member and one or more alternate payees in accordance with domestic relations order(s).	2
018.092	New Retiree Benefit Setup	Benefit Payments & Refunds	The system will provide the capability to establish an alternate payee that will receive a dollar amount or percentage portion of the member's retiree benefit in accordance with a domestic relations order, or for any other purpose.	2
018.093	New Retiree Benefit Setup	Benefit Payments & Refunds	The system will maintain a viewable and printable history (audit trail) for changes to a benefit recipient's tax withholding elections, beneficiaries, membership, etc. that impact the recipient's monthly benefit amount.	2
018.094	New Retiree Benefit Setup	Benefit Payments & Refunds	The system will provide the capability to input an alternate payee's direct deposit banking information when establishing a new retiree benefit for an alternate payee.	2
018.095	New Retiree Benefit Setup	Benefit Payments & Refunds	The system will allow the SCERS user to change an alternate payee's direct deposit banking information at any time subsequent to a new retiree benefit set-up.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



018.096	New Retiree Benefit Setup	Benefit Payments & Refunds	The system will provide the capability for the SCERS user to specify multiple types of deductions and amounts to be withheld or deducted from an alternate payee's monthly payment.	2
018.097	New Retiree Benefit Setup	Benefit Payments & Refunds	The system will provide capability for the SCERS user to record the retirement option selected by the benefit recipient.	2
018.098	New Retiree Benefit Setup	Benefit Payments & Refunds	The system will provide the capability for the SCERS user to record whether or not the member has selected the Social Security option for their retirement benefit and, if selected, the system will automatically track the member's age progression toward the age of 62 or 65 and alert the SCERS user three months prior to the member's 62 nd or 65 th birthday to adjust the member's benefit appropriately.	2
018.099	New Retiree Benefit Setup	Benefit Payments & Refunds	The system will provide the capability to include any retroactive payment amounts for the benefit recipient in the recipient's first retirement benefit payment.	2
018.100	New Retiree Benefit Setup	Benefit Payments & Refunds	The system will provide the capability to include a pro-rated month payment amount that may be due to the benefit recipient in the recipient's first retirement benefit payment.	2
018.101	New Retiree Benefit Setup	Benefit Payments & Refunds	The system will provide the capability to define payroll adjustments. Adjustments may be defined at the individual payee level in the member record, or defined globally for populations of payees. Adjustments may be positive or negative, and must be effective dated.	2
018.102	New Retiree Benefit Setup	Member Data	The system will provide the capability for the SCERS user to assign the member's existing active member beneficiaries as retirement benefit or death benefit beneficiaries without re-entering those beneficiaries in the system, if that is the member's election, including contingent beneficiaries.	1
018.103	New Retiree Benefit Setup	Person Data	The system will provide the capability for SCERS user to update benefit recipient demographic or benefit information that is incomplete or incorrect as part of the new retiree benefit set-up process workflow.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



018.104	New Retiree Benefit Setup	Person Data	The system will provide the capability to input and maintain beneficiary information for an alternate payee.	1
018.105	New Retiree Benefit Setup	Person Data	The system will, when a new retiree benefit is being established, automatically populate or associate alternate payee information from existing DRO and beneficiary information associated with the member's account.	1
018.106	New Retiree Benefit Setup	Person Data	The system will allow the SCERS user to manually adjust any alternate payee information drawn from DRO and beneficiary information associated with the member's account.	1
018.107	New Retiree Benefit Setup	Reports, Forms & Letters	The system will provide the capability to produce a benefit calculation summary report for the retiring member.	2
018.108	New Retiree Benefit Setup	Reports, Forms & Letters	The system will provide the capability to generate letters to reciprocal agencies with which a member may have established reciprocity using data from the system to populate the content of the letter.	2
018.109	New Retiree Benefit Setup	Reserve Movement	The system will generate a reserve movement transaction when a new benefit is set up. This transaction will move all contribution amounts from the Employee and Employer Reserves to the Retired Reserve, and "zero out" the contribution and interest amounts in the member record. The member's record will continue to track the member's annuity amount as it is reduced over time.	2
018.110	New Retiree Benefit Setup	Workflow & Case Management	The system will allow the SCERS user to designate a specific Benefit Estimate prepared for the retiring member as final.	1
018.111	New Retiree Benefit Setup	Workflow & Case Management	The system will provide the capability to generate calendar reminders for the benefit recipient and Retirement Benefits Specialist to track appointments, due dates, follow-up, and other events in the new retiree benefit set-up process.	3
018.112	New Retiree Benefit Setup	Workflow & Case Management	The system will provide the automated capability to identify any reciprocity that is in effect for the retiring benefit recipient.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



018.113	New Retiree Benefit Setup	Workflow & Case Management	The system will determine from the retiree's history and electronic documents on file whether the retiree may need to produce further documents such as copies of Marital Dissolution papers, certified Marriage certificate, certified Death certificate of spouse, certified Birth Certificates, etc. and will alert the SCERS user. That is, the system will have a checklist of documents that can be used to alert staff that required documents are missing prior to processing a benefit.	2
018.114	New Retiree Benefit Setup	Workflow & Case Management	The system will alert the SCERS user that is working on a New Retiree Benefit Set-up if any of the following conditions apply to the member's account. <ul style="list-style-type: none"> • Existing DRO(s) • Pending DRO(s) • Pending disability retirement application • Pending withdrawals • Incomplete buyback contract • Wage garnishments/liens • Reciprocal service (incoming or outgoing) • Calculation comes within 95% of the 415(b) limit • Potential felony conviction (for CalPEPRA established tiers) 	2
018.115	New Retiree Benefit Setup	Benefit Data	The system will provide the capability to determine the Service Retirement Benefit Options available to the retiree.	1
018.116	New Retiree Benefit Setup	Validation	The system will allow only those Retirement Options that are appropriate to the retiree.	1
018.117	New Retiree Benefit Setup	Usability	The system will provide the capability to record the Option the retiree has chosen.	1
018.118	New Retiree Benefit Setup	Usability	The system will prevent changing the Option once the first benefit check has been issued, except in extenuating circumstances.	1
018.119	New Retiree Benefit Setup	Usability	The system will provide the capability to override the Option selected, to accommodate special circumstances.	1
018.120	New Retiree Benefit Setup	Usability	The system will provide the capability to record the final retirement benefit amount based on the Retirement Option that the retiree selected. The calculation of the benefit for the various Options is specified in the Estimates process.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



018.121	New Retiree Benefit Setup	Workflow & Case Management	The system will issue a reminder for a waiver when the spouse is not the beneficiary but the member is married.	1
018.122	New Retiree Benefit Setup	Benefit Calculation	The system will automatically calculate the required federal withholding for non-citizen and/or non-United States resident members.	1
018.123	New Retiree Benefit Setup	Self-Service	The system will provide the ability through a web portal (self-service) for members and other benefit recipients to submit copies of documents related to the New Retiree Benefit Setup Process.	1
018.124	New Retiree Benefit Setup	Workflow & Case Management	The system will provide the capability to flag accounts of safety members that have filed a 402L form and notify SCERS staff.	1
018.125	New Retiree Benefit Setup	Taxability	The system will provide the capability to generate a letter to safety members with the form 402L on file summarizing medical premiums paid.	1
018.126	New Retiree Benefit Setup	Benefit Calculation	The system will provide the capability to cap a recipient's benefit to 100% of final average salary.	1
018.127	New Retiree Benefit Setup	Workflow & Case Management	The system will provide the capability to identify and notify SCERS users of new retirees with service under multiple plans that have applied for retirement.	1
018.128	New Retiree Benefit Setup	Usability	The system will provide the capability allow for a SCERS user to override the cap on a benefit exceeding 100% of the final average salary calculation.	1
018.129	New Retiree Benefit Setup	System Data	The system will provide the capability for SCERS to specify criteria for the evaluation of safety members accounts that submit 402L forms for eligibility purposes.	
018.130	New Retiree Benefit Setup	Workflow & Case Management	The system will provide the capability to generate a workflow for SCERS staff when a safety member submits a 402L letter and the system is unable to determine eligibility.	1
018.131	New Retiree Benefit Setup	Workflow & Case Management	The system will disregard 402L forms that are received by members that are not established in the system as a Safety member.	1
018.132	New Retiree Benefit Setup	Reports, Forms, & Letters	The system will provide the capability to generate a report for SCERS staff of 402L letters that the system has deemed to be for	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			accounts that are ineligible to submit the form.	
018.133	New Retiree Benefit Setup	Workflow & Case Management	The system will provide the capability for a SCERS member with multiple accounts (member and non-member) to retire from each account separately or on the same date.	1
018.134	New Retiree Benefit Setup	Workflow & Case Management	The system will provide the capability to notify SCERS when a member applies for Disability before or after being paid a Service Retirement with a Social Security modification where a receivable will result if the Disability application is approved.	1
018.135	New Retiree Benefit Setup	Reports, Forms & Letters	The system will provide the capability to generate a letter to a member when they elect to change their benefit and a receivable will result in doing so. The letter will provide details with the benefit calculation and resulting receivable.	2
018.136	New Retiree Benefit Setup	Web Portal	The system will alert a user that is applying for Service Retirement or Disability when they have already been approved for Service Retirement or Disability and changing the benefit will result in a receivable.	1
018.137	New Retiree Benefit Setup	Usability	The system will be able to utilize mortality tables based on the most recent plan/tier the member occupied. An example: If a member has service in a Safety plan and later worked under a Miscellaneous plan, the mortality tables used would need to be for Miscellaneous members.	1
019.001	Payment Maintenance	Usability	The system will provide the capability to, either manually or through the import of a file, designate a check payment as stale-dated when notified by the DOF that the check has not cleared for 180 days.	2
019.002	Payment Maintenance	Reports, Forms & Letters	The system will provide the capability to query the system for checks that were previously designated as stale dated for 180 days, where 180 is specified by SCERS.	2
019.003	Payment Maintenance	Reports, Forms & Letters	The system will provide the capability to query the PAS for checks that have not cleared for N days, where N is specified by SCERS.	2
019.004	Payment Maintenance	Reports, Forms & Letters	The system will provide the capability to generate an editable letter to the member	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			when a payment check has not cleared after N days.	
019.005	Payment Maintenance	Reports, Forms & Letters	The system will provide the capability to generate and edit a letter to the member or vendor when a check payment has been identified as stale-dated. The letter will be accompanied by the applicable form(s) needed to request a payment reissue.	2
019.006	Payment Maintenance	Reports, Forms & Letters	The system will provide the ability to issue request letters for missing documents, or documents that were invalid or incomplete. The system will provide suspense and follow-up capability for items requested.	2
019.007	Payment Maintenance	Reports, Forms & Letters	The system will provide the ability to send a direct deposit form to a benefit recipient that has requested a reissue of a stale dated or lost check.	2
019.008	Payment Maintenance	Reports, Forms & Letters	The system will provide the ability to identify re-hired members that are reported on payroll files and cross-reference it with benefit recipients and provide a report to SCERS.	2
019.009	Payment Maintenance	Reports, Forms & Letters	The system will provide the ability to send a letter and appropriate forms to the re-hire/reinstated benefit recipient that was previously receiving a benefit for them to confirm their re-hire information.	2
019.010	Payment Maintenance	Reports, Forms & Letters	The system will provide the ability to issue request letters for missing documents, or documents that were invalid or incomplete. The system will provide follow-up capability for items requested.	2
019.011	Payment Maintenance	Benefit Calculation	The system will provide the ability to calculate the pro-rated payment that needs to be issued to a re-hire/reinstated benefit recipient.	2
019.012	Payment Maintenance	Reports, Forms & Letters	The system will provide the ability to reissue payments to benefit recipients that will need to have their payment reissued as a pro-rated check.	2
019.013	Payment Maintenance	Reports, Forms & Letters	The system will provide the ability to cease deductions and notify EBO, courts, and CalPERS that the health deductions should cease.	2
019.014	Payment	Reports, Forms &	The system will provide the ability to notify	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



	Maintenance	Letters	employers of incorrectly reported re-hires.	
019.015	Payment Maintenance	Reports, Forms & Letters	The system will provide the ability to distinguish between benefit recipients on direct deposit and paper check and send different letters to each.	2
019.016	Payment Maintenance	Usability	The system will provide the capability to flag payments when ACH transfers are rejected, and reissue payments when needed. The system will also provide the ability for a direct deposit form and letter to be auto-generated upon bank rejection of a payment.	2
020.001	Reciprocity	Eligibility	<p>The system will enforce the following basic eligibility rules for establishing reciprocity:</p> <ul style="list-style-type: none"> • The member must be incoming from, or outgoing to, a retirement system with which SCERS has reciprocal agreements • Employment with a new reciprocal retirement system must begin within 180 days of ending employment with the prior reciprocal retirement system • The member may not have concurrent service in the outgoing retirement systems exceeding a period of two weeks • The dates used in determination of these conditions for incoming reciprocity are the termination date from the reciprocal retirement system and the employment/membership date at SCERS, depending on the reciprocal retirement system • The dates used in determination of these conditions for outgoing reciprocity are the termination date with SCERS and the membership date with the retirement system 	1
020.002	Reciprocity	Eligibility	The system will provide the capability to calculate exact days of overlap in service between SCERS and the reciprocal retirement system. If overlap exists, a flag will be raised on the member record.	1
020.003	Reciprocity	Eligibility	The system will provide the capability to calculate the exact duration in days of gaps in service between SCERS and the reciprocal retirement system. A flag will be raised on the member record if the gap exceeds 180 days.	1
020.004	Reciprocity	System Data	The system will provide the capability for SCERS staff to override the 180-day eligibility	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			requirement.	
020.005	Reciprocity	System Data	<p>The system will provide the capability to store a list of reciprocal retirement systems with which SCERS has reciprocity agreements, including the effective date of the agreement for each reciprocal retirement system. The list will include:</p> <p>Statewide Systems</p> <ul style="list-style-type: none"> • CalPERS • CalSTRS • JRS I/II • All agencies whose employees are members of CalPERS and CalSTRS including state agencies, judicial systems, county schools, various cities, counties and special districts • Any public agency that has a reciprocal agreement with CalPERS subject to Section 31840.2 <p>County Systems (CERL 1937)</p> <ul style="list-style-type: none"> • Alameda • Contra Costa • Fresno • Imperial • Kern • Los Angeles • Marin • Mendocino • Merced • Orange • San Bernardino • San Diego • San Joaquin • San Mateo • Santa Barbara • Sonoma • Stanislaus • Tulare • Ventura 	1
020.006	Reciprocity	System Data	The system will provide the capability for an administrator or supervisor to modify the list of reciprocal retirement systems without the need for programming updates.	2
020.007	Reciprocity	System Data	The system will provide the capability to store a history of past reciprocal retirement systems which no longer have reciprocal agreements with SCERS.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



020.008	Reciprocity	Benefit Payments & Refunds	The system will provide the capability to adjust the service credit and provide a refund when a member is granted reciprocity but has any overlapping service.	1
020.009	Reciprocity	Eligibility	The system will provide the capability to deny reciprocity upon application given the following conditions: <ul style="list-style-type: none"> • Member withdrew funds from prior reciprocal retirement system (refund) • Member retired from prior reciprocal retirement system without notifying SCERS prior to retirement 	1
020.010	Reciprocity	Eligibility	The system will provide the capability to deny reciprocity upon application for retirement benefits given the following conditions: <ul style="list-style-type: none"> • Member does not apply for benefits in reciprocal retirement systems concurrently (with the same benefit effective date) unless they are ineligible to apply for retirement with SCERS but are able to with the reciprocal retirement system. • Member applies for a different type of benefit in each system (e.g. service retirement and disability retirement) 	1
020.011	Reciprocity	Eligibility	The system will provide the capability to add new conditions of reciprocity denial as required.	2
020.012	Reciprocity	Reports, Forms & Letters	The system will provide the capability to automatically generate a reciprocity denial letter to the member including the reason for rejection.	2
020.013	Reciprocity	Workflow & Case Management	The system will provide the capability for the SCERS user to set an indicator or flag on the member's account that SCERS has received confirmation that the member withdrew from a subsequent system with which outgoing reciprocity had been established.	2
020.014	Reciprocity	Workflow & Case Management	The system will prohibit the cancellation of reciprocity for a member, once established, unless the SCERS user confirms with the subsequent system that the member has terminated and withdrawn from that system or hasn't retired concurrently and has appropriately flagged the member's account that such information is verified.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



020.015	Reciprocity	Workflow & Case Management	The system will allow an authorized SCERS user the ability to reverse a member's reciprocity establishment in the system to accommodate for special circumstances.	2
020.016	Reciprocity	Workflow & Case Management	The system will provide the capability for the SCERS user to indicate the status of efforts to verify if withdrawal of contributions has occurred at any of the member's incoming/outgoing reciprocal retirement systems.	2
020.017	Reciprocity	Reports, Forms & Letters	The system will provide the capability to generate a letter to the reciprocal retirement system requesting completion and return of the Inter-System Membership Advice Form in order to establish incoming reciprocity.	2
020.018	Reciprocity	Workflow & Case Management	The system will provide the capability for the SCERS user to suspend a reciprocity workflow pending receipt of a completed Inter-System Membership Form from the reciprocal retirement system.	2
020.019	Reciprocity	Workflow & Case Management	The system will provide the capability to establish a schedule of follow-ups for non-responsive reciprocal retirement systems when the Inter-System Membership Form has not been received including sending out additional letters.	2
020.020	Reciprocity	Reports, Forms & Letters	The system will provide the capability to automatically generate SCERS Form 6125 and pre-populate any required fields from SCERS prior to sending to the member.	2
020.021	Reciprocity	Reports, Forms & Letters	The system will provide the capability for the member to fill out SCERS Form 6125 via the Member Web Portal.	3
020.022	Reciprocity	Reports, Forms & Letters	The system will provide the capability to generate a letter to the member requesting completion and return of SCERS Form 6125 in order to establish outgoing reciprocity.	2
020.023	Reciprocity	Workflow & Case Management	The system will provide the capability for the SCERS user to suspend a reciprocity workflow pending receipt of a completed SCERS Form 6125 from the member.	2
020.024	Reciprocity	Workflow & Case Management	The system will provide the capability to establish a schedule of follow-ups for non-responsive members when SCERS Form 6125	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			has not been received including sending out additional letters.	
020.025	Reciprocity	Reports, Forms & Letters	The system will provide the capability to deny reciprocity and send a letter to the member when SCERS Form 6125 has not been returned after a specified follow-up period. The follow-up period duration will be defined by SCERS.	2
020.026	Reciprocity	Workflow & Case Management	The system will not allow outgoing reciprocity to be established if the member's status in the system is other than Terminated.	2
020.027	Reciprocity	Workflow & Case Management	The system will provide the ability for an authorized SCERS user to override the requirement to establish outgoing reciprocity when the status in the system is anything other than Terminated.	2
020.028	Reciprocity	Workflow & Case Management	The system will provide the capability to alert a SCERS user when attempting to process a refund of contributions if a member has established outgoing reciprocity.	2
020.029	Reciprocity	Workflow & Case Management	The system will prohibit the processing of a withdrawal refund unless the SCERS user confirms with the subsequent system that the member has terminated and withdrawn from that system and has appropriately flagged the member's account that such information is verified.	2
020.030	Reciprocity	Workflow & Case Management	The system will provide the capability to process a withdrawal refund if a member has established outgoing reciprocity, rejoined SCERS membership, and then terminates.	
020.031	Reciprocity	Workflow & Case Management	The system will allow an authorized administrator to override the system to issue a refund in special circumstances despite the establishment of reciprocity.	2
020.032	Reciprocity	Benefit Calculation	The system will provide the capability to include eligible reciprocal service in the calculation of total service credit to determine if a member is eligible for retirement. Note that reciprocal service is not included for actual calculation of the benefit.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



020.033	Reciprocity	Benefit Calculation	The system will provide the capability to calculate and compare the Final Average Salary between all reciprocal retirement systems, including SCERS, when calculating a reciprocal retirement benefit. The greatest value of the Final Average Salary between reciprocal retirement systems is used to determine the benefit.	1
020.034	Reciprocity	Benefit Data	The system will provide the capability to recalculate employee and employer contributions based on the following changes: <ul style="list-style-type: none"> • Tier • Classification • Salary • Combination of any of the above 	1
020.035	Reciprocity	Benefit Payments & Refunds	The system will provide the capability to identify the final amount of over- or under-payment of contributions and interest (if applicable) to be posted against the member's records (and employer accounts within the FRS) and must allow for an adjustment and/or refund to be made in this amount, if necessary.	2
020.036	Reciprocity	Benefit Payments & Refunds	The system will provide the capability to process and generate a refund in case of an overpayment of contributions due to a change in the contribution rate.	2
020.037	Reciprocity	Benefit Payments & Refunds	The system will provide the capability to track an overpayment of contributions created by a change in contribution rate during the Reciprocity process and allow the overpayment to be returned to the member by way of reduced member contributions transmitted through employer payroll.	2
020.038	Reciprocity	Contribution Data	The system will provide the capability for the member to make lump sum payment with post-tax funds for underpayments.	1
020.039	Reciprocity	Contribution Data	The system will provide the capability to include social security integration when recalculating contribution amounts.	1
020.040	Reciprocity	Reports, Forms & Letters	The system will provide the capability to display the results of the refund calculations on screen and in a refund worksheet, along with other data elements associated with the reciprocal service.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



020.041	Reciprocity	Reports, Forms & Letters	The system will provide the capability to create, display, save, and print a contribution adjustment summary or similar report containing, for example, the following information: <ul style="list-style-type: none"> • Refund summary • Payment summary • Salary history • Plan and Tier • Rates 	2
020.042	Reciprocity	Reports, Forms & Letters	The system will provide the capability upon establishment of reciprocity to generate a notice to a participating employer to correct the tier and contributions for a member starting on a specific pay period and the effective date of the change.	2
020.043	Reciprocity	Reports, Forms & Letters	The system will provide the capability to create a letter to the member informing him / her of the tier and contribution changes and the effective date of the new contribution rate once reciprocity has been established/denied.	2
020.044	Reciprocity	Reports, Forms & Letters	The system will provide the capability to create a letter to the member notifying of underpayment including elections to deposit missing contributions.	2
020.045	Reciprocity	Reports, Forms & Letters	The system will provide the capability to create a letter to the member notifying of overpayment amount and the expected date for refund.	2
020.046	Reciprocity	Reports, Forms & Letters	The system will provide the capability to report on contributions/age of entry/tier adjustments in process (e.g. letter to member sent, researching salary history, etc.).	2
020.047	Reciprocity	Reports, Forms & Letters	The system will provide the capability to report on all contributions/tier adjustments using a range of dates.	2
020.048	Reciprocity	Workflow & Case Management	The system will provide the capability to use workflows and checklists related to contribution and age of entry/tier adjustments.	2
020.049	Reciprocity	Workflow & Case Management	The system will provide the capability to enter notes for adjustments.	2
020.050	Reciprocity	Workflow & Case Management	The system will provide the capability for peer and/or supervisor review of adjustments.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



020.051	Reciprocity	Workflow & Case Management	The system will provide the capability to track the elapsed time from the date of underpayment letter to the member to collect funds within a specified time period of SCERS's choosing.	2
020.052	Reciprocity	Workflow & Case Management	The system will provide the capability to escalate or transfer a reciprocity workflow step to another SCERS user with appropriate permissions to change such member data as age, tier, classification, etc.	2
020.053	Reciprocity	Workflow & Case Management	The system will contain a workflow to guide the reciprocity process, both incoming and outgoing, and provide automation in the form of checklists, calendars, calculations, and other tools to support the tracking of documents and events involved in processing a reciprocity request.	2
020.054	Reciprocity	Workflow & Case Management	The system will allow the reciprocity workflow process to be manually launched during processing of new or returning member enrollments or terminations.	2
020.055	Reciprocity	Workflow & Case Management	The system will launch and assign a new reciprocity workflow upon initial receipt of a reciprocity form that is received in the member's ECM file.	2
020.056	Reciprocity	Workflow & Case Management	The system will re-activate an existing suspended reciprocity workflow for a member when a SCERS specified form is received in the member's ECM file or when such form is completed and submitted through the Member Web Portal.	2
020.057	Reciprocity	Person Data	The system will provide the capability to store, track, and view pertinent information from the reciprocal retirement system as input by the SCERS user.	2
020.058	Reciprocity	Person Data	The system will allow the SCERS user to input information about the reciprocal retirement system from which the member came as reported on the Inter-System Membership Form.	2
020.059	Reciprocity	Workflow & Case Management	The system will provide the capability for authorized SCERS users to manually override data associated with reciprocity to allow for exceptions.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



020.060	Reciprocity	Workflow & Case Management	The system will provide the capability to change the status of an established incoming reciprocity for a member to ineligible, if needed. The system must then change the contribution rate and any other applicable data and calculations for age based rates.	2
020.061	Reciprocity	Workflow & Case Management	The system will provide an alert to a SCERS user when a retirement application is received for a member with established reciprocity and will notify a member of the same if completing a retirement application through the Member Web Portal.	2
020.062	Reciprocity	Person Data	The system will provide the capability to capture and store multiple reciprocity records for a member, both incoming and outgoing, including reciprocal retirement system name, date ranges for reciprocal memberships, member classification, and total reciprocal service time.	2
020.063	Reciprocity	Reports, Forms & Letters	The system will provide the capability to produce reports on reciprocity – e.g. a list of members who have outgoing reciprocity and the respective reciprocal retirement systems, list of members who have incoming reciprocity and the corresponding reciprocal retirement systems, summary reports with counts, etc.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



020.064	Reciprocity	Person Data	<p>The system will provide the capability to record information on incoming reciprocity about a member, including:</p> <ul style="list-style-type: none"> • Name of reciprocal retirement system • Termination date with reciprocal retirement system • Membership date with reciprocal retirement system • Years of service with reciprocal retirement system • Entry age in reciprocal retirement system • Purchased service prior to membership with reciprocal retirement system • Total days between termination date at reciprocal retirement system and entry date at SCERS • Flag for whether termination date from retirement system and entry date at SCERS falls within allowable amount of 180 days (Y/N) • Days of overlap between reciprocal retirement system and SCERS service • Eligible for reciprocity? (Y/N) • Reason for ineligibility • Member classification <p>Additional data may be required as reciprocity requirements evolve.</p>	1
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Sacramento County Employees' Retirement System

RFP for Pension Administration System



020.065	Reciprocity	Reports, Forms & Letters	<p>The system will provide the capability to generate information on outgoing reciprocity for a member, including:</p> <ul style="list-style-type: none"> • Name of reciprocal retirement system • Termination date with SCERS • Membership date with reciprocal retirement system • Total days between termination date at SCERS and entry date at reciprocal retirement system • Flag for whether termination date at SCERS and entry date at reciprocal retirement system falls within allowable amount of 180 days (Y/N) • Days of overlap between reciprocal retirement system and SCERS service • Flag for whether service overlap between reciprocal retirement system and SCERS falls within allowable amount of two weeks for outgoing reciprocity (Y/N) • Eligible for reciprocity? (Y/N) • Reason for ineligibility • Member classification <p>Additional data may be required as reciprocity requirements evolve.</p>	1
020.066	Reciprocity	System Data	<p>The system will provide for easily maintaining additional information for reciprocal retirement systems including the following:</p> <ul style="list-style-type: none"> • Retirement system name • Retirement system business address • Retirement system mailing address • Retirement system phone number • Contact person name • Contact person title • Contact person address • Contact person phone number • Contact person email • Contact person fax number <p>Additional information may be required as reciprocity requirements evolve.</p>	1
020.067	Reciprocity	Reports, Forms & Letters	<p>The system will provide the capability to input the date(s) correspondence to other retirement systems was sent out. It is sometimes necessary to send multiple follow-up requests to reciprocal retirement systems before the</p>	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			needed documentation is received.	
020.068	Reciprocity	Person Data	The system will provide the capability to flag an active member as reciprocal Member if applicable.	2
020.069	Reciprocity	Reports, Forms & Letters	The system will provide the capability to produce an automated Inter-System Membership Form (SCERS Form 6224), populated with the member's specific information, for both incoming reciprocity and outgoing reciprocity requests. The system must also provide for the ability to store these in the system and to track their status.	2
020.070	Reciprocity	Workflow & Case Management	The system will provide the capability to suspend all requests associated with the reciprocity process, including, but not limited to, requests for forms and affidavits from reciprocal retirement systems.	2
020.071	Reciprocity	Service Data	The system will provide the capability to store, display and update reciprocal salary data in the member record.	2
020.072	Reciprocity	Usability	The system will provide the capability to establish a threshold for a reminder that will then generate an automated notice to staff members to follow-up with the reciprocal retirement system when a request for reciprocity has not been responded to.	2
020.073	Reciprocity	Usability	The system will provide the capability to automatically turn off reminder notifications once reciprocity has been established.	2
020.074	Reciprocity	Reports, Forms & Letters	The system will provide the capability to automatically generate a reciprocity confirmation letter to the member for established incoming reciprocity.	2
020.075	Reciprocity	Reports, Forms & Letters	The system will provide the capability to automatically generate a reciprocity confirmation letter to the member and reciprocal retirement system for established outgoing reciprocity.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



020.076	Reciprocity	Reports, Forms & Letters	The system will provide the capability for SCERS users to edit system generated letters before sending to the member (e.g., reciprocity confirmation letter, denial letter).	2
020.077	Reciprocity	Usability	The system will include a status indicator for each reciprocal retirement system identifying if a withdrawal of contributions has been verified with any other outgoing reciprocal retirement systems.	2
020.078	Reciprocity	Person Data	The system will provide the capability to change the member status to inactive or suspended (depending on the eligibility service years) during the period when an outgoing member is in the process of establishing reciprocity.	2
020.079	Reciprocity	Workflow & Case Management	The system will launch and assign a reciprocity workflow, or will re-launch a suspended reciprocity workflow, upon receipt of a SCERS specified form.	2
020.080	Reciprocity	Workflow & Case Management	The system will provide the capability to change an outgoing member's termination status to "Deferred with Reciprocity" upon establishment of outgoing reciprocity.	2
020.081	Reciprocity	Service Data	The system will provide the capability for SCERS users to enter notes into the system when a change is made to the member's account.	2
020.082	Reciprocity	Reports, Forms & Letters	The system will provide the capability to automatically send periodic status confirmations for members with established reciprocity to reciprocal retirement systems at a SCERS specified time.	2
021.001	Refunds (all one-time payments)	Benefit Data	The system will provide the capability to restrict refunds to employee paid contributions and interest accrued. Vested and non-vested members who choose to withdraw their funds (contribution and interest) from SCERS are allowed to take a refund of all employee paid contributions and interest accrued by the member. Employer contributions are not subject to refund to the member, nor are they individually refunded or transferred back to the plan sponsor or another reserve account.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



021.002	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will provide the capability to withhold 0% federal tax and 0% CA state tax for rollover payments. For those members who elect to take a rollover, the payment is considered tax-deferred and therefore will contain no tax withholding.	2
021.003	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will provide the capability to process partial rollovers. Members can roll over any portion of their pre-tax contributions. Any portion they do not roll over will be distributed to the member and is subject to tax withholding rules.	2
021.004	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will provide the capability to default to 20% federal tax withholding for refund withdrawal payments.	2
021.005	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will provide the capability to default to 2% for CA state tax withholding unless member elects no state tax withheld for refund withdrawal payments.	2
021.006	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will provide the capability to override default tax withholding percentages and amounts by staff member and to choose either a flat rate or percentage amount.	2
021.007	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will provide the capability to issue partial payments, in situations where there are multiple claimant beneficiaries sharing a benefit.	2
021.008	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will provide the capability to pay combinations of payments (whether there be one to the member and one or more financial institutions for direct rollover) in one transaction or multiple transactions, based on member selection.	2
021.009	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will provide the capability to automatically compute the amount of employee paid contribution and accumulated interest to refund to member based on contribution and interest types.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



021.010	Refunds (all one-time payments)	Eligibility	<p>The system will provide the capability to process withdrawals for deferred members who have not received retirement benefit payments and that have not established outgoing reciprocity.</p> <p>Unless outgoing reciprocity has been established, an election for deferral may be cancelled at any time, and contributions plus interest withdrawn. This option may not be exercised once retirement benefit payments begin.</p> <p>If outgoing reciprocity has been established, confirmation form other retirement system is needed to determine if member terminated and withdrew funds. If yes, Member may request a refund of employee-paid contributions and interest. If no, Member cannot withdraw funds.</p>	1
021.011	Refunds (all one-time payments)	Reports, Forms & Letters	<p>The system will provide the capability to generate individual 1099Rs for each type of payment with a unique distribution code. If a distribution code is the same for multiple payments, there should only be one 1099R.</p>	2
021.012	Refunds (all one-time payments)	Person Data	<p>The system will provide the capability to record and maintain financial institution data if the member selects rollover or partial lump sum payment.</p>	1
021.013	Refunds (all one-time payments)	Reports, Forms & Letters	<p>The system will provide the capability to create a system generated payment letter that will go to the financial institution for rollovers, containing selectable demographic information about the member, as well as financial institution information.</p>	2
021.014	Refunds (all one-time payments)	Benefit Payments & Refunds	<p>The system will provide the capability to restrict distribution or rollover of funds if SCERS has a DRO or joinder on file.</p>	2
021.015	Refunds (all one-time payments)	Benefit Payments & Refunds	<p>The system will provide the capability to process payments appropriately for members who have one or more DRO's on file, where multiple payments to multiple payees may be necessary.</p>	2
021.016	Refunds (all one-time payments)	Workflow & Case Management	<p>The system will provide the capability to alert staff if there is a legal-hold (such as in the case of a DRO on file or other such event) on member's account before issuing a distribution of funds.</p>	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



021.017	Refunds (all one-time payments)	Reports, Forms & Letters	The system will provide the capability for SCERS users to display, print, and save the various reconciliation reports generated during the refund process.	2
021.018	Refunds (all one-time payments)	Validation	The system will provide the ability to perform full and complete review, validation, reconciliation, and quality assurance checks to ensure the payments issued are correct regardless of the purpose or method of payment.	2
021.019	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will prevent the processing of a refund of a terminated employee's paid contributions and accumulated interest when the number of pay dates with zero contributions for the member following the final contribution received is less than a SCERS defined amount.	2
021.020	Refunds (all one-time payments)	Usability	The system will provide the capability for an authorized SCERS user (manager level) to override the minimum SCERS defined pay periods after final contributions rule with regard to refunds.	2
021.021	Refunds (all one-time payments)	Reports, Forms & Letters	The system will provide the capability to generate a letter that shows what the withdrawal or rollover amount will be, and compare it to a future monthly benefit if the member were to defer until the first eligible date of retirement, if the member is vested.	2
021.022	Refunds (all one-time payments)	Workflow & Case Management	The system will provide an alert to the SCERS user attempting to process a refund of employee paid contributions and accumulated interest on a vested member's account.	3
021.023	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will calculate a withdrawal refund for a terminating member as the sum of the employee paid contributions and accumulated interest.	2
021.024	Refunds (all one-time payments)	Benefit Data	The system will provide the capability to keep a record of a withdrawing member's final account balance of employer and employee contributions, interest, and service prior to it being reduced to zero by the refund for use should the member be eligible to redeposit funds in the future.	1
021.025	Refunds (all one-time)	Benefit Data	The system will provide the capability to keep the original payment number and date after the	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



	payments)		member takes the distribution.	
021.026	Refunds (all one-time payments)	Benefit Data	The system will provide the capability to maintain payment history with check numbers for all distributions.	1
021.027	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will provide the capability to automatically reduce the member's account balance of employer and employee contributions, interest, interest, and service down to zero when withdrawal payments are posted in the system.	2
021.028	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will provide the capability to show paid status of distribution in payment history for the member.	2
021.029	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will support assignment of different general ledger account numbers for active versus deceased benefit recipients.	2
021.030	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will provide the capability for a payment to be adjusted or recalculated and a check reissued in the adjusted amount only if the payment has not been posted.	2
021.031	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will provide the capability to change the payment distribution type from a rollover to a withdrawal check to the member, and vice versa, without having to recalculate, terminate, or cancel the payment record or benefit setup.	2
021.032	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will provide the capability to issue a refund of employee paid contributions, without interest, to a member as a result of a felony conviction.	2
021.033	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will provide the capability for distributions to create general ledger financial transactions only upon generation of the payments, not at the time the setup of the distribution is done (i.e., during the running of a termination payroll batch process).	2
021.034	Refunds (all one-time payments)	Person Data	The system will provide the capability to make changes to the financial institution after the payment has initially been set up without having to cancel or terminate the actual setup of the payment, even if the payment record has already been generated, so long as the payment has not been posted in the system.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



021.035	Refunds (all one-time payments)	Person Data	The system will provide the capability to make changes to Member/Claimant Beneficiary information such as Member/Claimant Beneficiary address or name without having to void the original payment, prior to the payment being posted.	1
021.036	Refunds (all one-time payments)	Person Data	The system will provide the capability to flag a member's account that a member is subject to a potential felony conviction.	1
021.037	Refunds (all one-time payments)	Person Data	The system will allow a SCERS user to input, if applicable, an "Earliest date of commission" and a "Forfeiture Date (Conviction Date)" associated with a member that has been convicted of a felony for the purposes of determining forfeited benefits and contributions.	1
021.038	Refunds (all one-time payments)	Reports, Forms & Letters	The system will have the capability to generate journals for the SCERS general ledger.	2
021.039	Refunds (all one-time payments)	Reports, Forms & Letters	The system will have the capability to generate individual payment journals for posting to SCERS financial system and generate actual checks.	2
021.040	Refunds (all one-time payments)	Usability	The system will provide the capability to put member account into a "pending" type of status prior to receiving all necessary information for actual processing. This will help to track distributions even prior to their setup.	2
021.041	Refunds (all one-time payments)	Usability	The system will provide the capability to review all "pending" member accounts in a single screen, and to be able to initiate the payment(s) from this screen.	2
021.042	Refunds (all one-time payments)	Workflow & Case Management	The system will provide the capability to create an alert or warning when address or Member/Claimant Beneficiary name is altered.	2
021.043	Refunds (all one-time payments)	Workflow & Case Management	The system will provide the capability to prevent the processing of refunds for a member who has applied for service retirement or disability and who has not been denied (DR only) or has not withdrawn the application.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



021.044	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will provide once payment has posted (rollover or withdrawal check) and an adjustment posts additional funds from Employer, the system will automatically generate a new payment based on the prior selection.	2
021.045	Refunds (all one-time payments)	Workflow & Case Management	The system will provide the capability to notify SCERS staff when a payment has been requested, but has not been issued within a SCERS specified period of time.	1
021.046	Refunds (all one-time payments)	Workflow & Case Management	The system will provide the capability to flag accounts for terminated members that have filed for an appeal of their termination.	1
021.047	Refunds (all one-time payments)	Workflow & Case Management	The system will provide the capability to prevent the processing a refund within 6 months of a termination when an account has been flagged as going through appeal.	1
021.048	Refunds (all one-time payments)	Workflow & Case Management	The system will provide the capability to prevent the processing of a refund if a member has established outgoing reciprocity and SCERS is not the last retirement system unless the member withdraws from the other system.	1
021.049	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will prevent SCERS from issuing more than 100% of the benefits payable on an account.	1
021.050	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will, in the event that a terminated member hasn't refunded, prevent the refund of the account if the member returns to a temporary position with any SCERS participating employer within 60 days of the termination.	1
021.051	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will, in the event that a terminated member hasn't refunded, prevent the refund of the account if the member returns to a SCERS participating position, regardless of the length of time from the termination.	1
021.052	Refunds (all one-time payments)	Benefit Payments & Refunds	The system will provide the capability to automatically generate a payment when additional funds post after a refund check has already been issued and posted to the system based on the claimant's prior distribution election (i.e. rollover, direct payment, etc.) and notify SCERS staff to review and release the	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			payment.	
021.053	Refunds (all one-time payments)	Reports, Forms, and Letters	When a member elects a refund, the system will automatically generate a letter to the member informing them of the details of the payment being issued or rolled over. If the member has incoming reciprocity, the reciprocal retirement system will be copied on the letter.	2
022.001	Retiree Payroll	Batch Processing	The system will have the capability to produce and print checks and advices.	2
022.002	Retiree Payroll	Batch Processing	The system will provide the future capability to distribute payroll advices to benefit recipients by email.	2
022.003	Retiree Payroll	Web Portal	The system will provide the ability for benefit recipients to view, print, and save their payroll advices through the Member Web Portal.	3
022.004	Retiree Payroll	Batch Processing	The system will provide the capability to create a "trial run" of the Payroll Warrant File for the purposes of validation and reconciliation prior to posting payroll.	2
022.005	Retiree Payroll	Batch Processing	The system will issue payroll payments on the last working day of each month.	2
022.006	Retiree Payroll	Batch Processing	The system will provide the capability to accommodate off-cycle payment requests by SCERS staff.	2
022.007	Retiree Payroll	Usability	The system will provide the ability to change an individual record in Payroll Warrant File without rerunning the entire batch.	2
022.008	Retiree Payroll	Batch Processing	The system will provide the capability for SCERS to specify the date when payroll runs each month.	1
022.009	Retiree Payroll	Batch Processing	The system will provide the capability to schedule events that need to occur at a SCERS specified time prior to when payroll runs each month.	1
022.010	Retiree Payroll	Batch Processing	The system will provide the capability to recreate a payroll run if errors were found and corrected prior to SCERS posting payroll and authorizing payments.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



022.011	Retiree Payroll	Reports, Forms & Letters	<p>The system will provide the capability to generate a variety of reconciliation reports pre and post payroll of SCERS' design during the payroll process. Reports that could be used by SCERS that the system may need to emulate in purpose and intent include, but are not limited to:</p> <ul style="list-style-type: none"> • Earnings/Deductions Proof • Gross to Net Report (containing summary totals for each benefit pay type and deduction type) • Transaction Detail Reports (in summary and as separate reports for individual vendors) • Detailed Payroll Summary Reports • Check/Advice Register • Tax Withholding Summary and Detail Reports • Payroll change report that identifies differences between the previous months' payroll and the current months' payroll • Deductions report that provides details on accounts where deductions were not withheld from a benefit recipient's monthly benefit. • Report that shows all benefit recipients that are due a benefit but a payment isn't issued. • Disaster Recovery Payroll Report 	2
022.012	Retiree Payroll	Reports, Forms & Letters	The system will provide the capability for SCERS users to display, print, and save the various reconciliation reports generated during the payroll process.	2
022.013	Retiree Payroll	Validation	The system will provide the ability to perform full and complete review, validation, reconciliation, and quality assurance checks to ensure the payroll data is correct regardless of the payroll processing model.	2
022.014	Retiree Payroll	Benefit Calculation	The system will provide the capability to compute proper Federal tax withholding based on W4P and tax tables.	2
022.015	Retiree Payroll	Benefit Calculation	The system will provide the capability to compute proper State tax withholding based on DE 4P and tax tables.	2
022.016	Retiree Payroll	Benefit Calculation	The system will provide the capability to compute proper tax withholding based on other states' withholding and tax tables, should SCERS choose to pay taxes to other states in the future.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



022.017	Retiree Payroll	Benefit Calculation	The system will provide the capability to compute proper tax withholding based on Non-resident Alien (NRA) tax rules.	2
022.018	Retiree Payroll	System Data	The system will provide the capability to electronically upload tax tables into the system as they are periodically reissued by the IRS and the State, rather than requiring manual entry of the tax tables into the system.	1
022.019	Retiree Payroll	Reports, Forms & Letters	The system will provide future capability to electronically transfer withholding information to IRS and State.	2
022.020	Retiree Payroll	Reports, Forms & Letters	The system will provide capability to generate required Federal and State quarterly and annual reports in the required format.	2
022.021	Retiree Payroll	Benefit Payments & Refunds	The system will maintain the separation of retirement benefits when one member spouse survives another member spouse and is receiving two benefit payments.	2
022.022	Retiree Payroll	Benefit Payments & Refunds	The system will provide functionality to complete monthly retiree payroll processing at SCERS.	2
022.023	Retiree Payroll	Benefit Payments & Refunds	The system will provide the capability to calculate payment amounts funded from an unlimited number of funding sources.	2
022.024	Retiree Payroll	Benefit Payments & Refunds	The system will provide the capability to issue payments from an unlimited number of funding sources and track payments that are made on behalf of another entity (i.e. Subsidies that are paid on behalf of an employer and will need to be collected).	2
022.025	Retiree Payroll	Benefit Payments & Refunds	The system will provide the flexibility for SCERS to change from in-house processing of payroll to outsourcing the payroll process to a vendor provider or bank. The system will therefore provide the capability to produce a payroll interface file compatible with an outside payroll processor.	2
022.026	Retiree Payroll	Benefit Payments & Refunds	The system will provide the capability to post return of overpayment from a deceased member's beneficiary.	2
022.027	Retiree Payroll	Benefit Payments & Refunds	The system will provide the capability for SCERS to post a negative adjustment to a member's monthly payroll amount and will	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



			maintain record of the adjustment.	
022.028	Retiree Payroll	Reports, Forms & Letters	The system will provide the capability to generate and edit a letter to the beneficiary of a deceased member regarding overpayment of benefits.	2
022.029	Retiree Payroll	Benefit Payments & Refunds	The system will prevent the generation of benefits for a benefit recipient that is deceased.	1
022.030	Retiree Payroll	Benefit Payments & Refunds	The system will provide the capability to create an adjustment transaction for an overpayment of deductions on behalf of a deceased benefit recipient for the purposes of collecting the overpayment/underpayment that will need to be paid to a beneficiary.	1
022.031	Retiree Payroll	Usability	The system will provide the capability to notify SCERS users when a bank account number is added for a direct deposit that already exists in the system. This will help to eliminate issues associated with adding a bank account erroneously to a benefit recipient's account.	2
022.032	Retiree Payroll	Usability	The system will provide the capability to accommodate multiple direct deposits.	2
022.033	Retiree Payroll	Benefit Calculation	The system will reduce the monthly SCERS benefit amount by the amount of the Social Security estimate in the month in which the member would be eligible to receive their first monthly social security benefit after turning age 62/65, as determined by social security rules. This action will be taken whether the member has applied to receive Social Security benefits and regardless of the actual amount of the member's Social Security benefit.	1
022.034	Retiree Payroll	Reports, Forms & Letters	The system will provide the capability to generate a report containing Social Security Modifications that are about to revert to the reduced pension amount within X number of months, where X is an input parameter to the report.	2
022.035	Retiree Payroll	Benefit Payments & Refunds	The system will provide the capability to stop an ongoing benefit payment on a SCERS specified date and provide an alert to warn SCERS staff before that ending date has been reached.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



022.036	Retiree Payroll	Reports, Forms & Letters	The system will provide the capability to create a NACHA file in .dat file format containing direct deposit information and pre-note (currently not used by SCERS) lists for upload to the bank. The data must also be printable in a useable hard copy format.	2
022.037	Retiree Payroll	Reports, Forms & Letters	The system will provide the capability to generate NACHA or other bank-related files in a variety of file formats at the request of the bank.	2
022.038	Retiree Payroll	Reports, Forms & Letters	The system will provide the capability to create a RECON file containing printed check reconciliation information for upload to the bank.	2
022.039	Retiree Payroll	Reports, Forms & Letters	The system will provide the capability to generate and physically/digitally (i.e. printing to PDF) print wire transfer documents for state and federal tax withholding.	2
022.040	Retiree Payroll	Reports, Forms & Letters	The system will provide the capability to produce confirmation detail and summary reports and files for each vendor.	2
022.041	Retiree Payroll	Reports, Forms & Letters	The system will provide the capability to generate data files in a variety of file formats and structures that can be modified to accommodate changing submission requirements of vendors and outside entities receiving these files.	2
022.042	Retiree Payroll	Workflow & Case Management	The system will allow the SCERS user to mark an existing member's account as being subject to the outcome of the Ventura County lawsuit.	2
023.001	Terminations	Workflow & Case Management	The system will require that the SCERS user actively acknowledge that SCERS has received verification of the member's termination from the employer prior to allowing the SCERS user to flag the member's account as terminated.	2
023.002	Terminations	Workflow & Case Management	The system will launch and assign a workflow or relaunch a suspended workflow when a Termination of Membership packet has been received in a member's file.	2
023.003	Terminations	Workflow & Case Management	The system will launch additional workflow steps when a SCERS user flags the member's account with the appropriate status code.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



023.004	Terminations	Reports, Forms & Letters	The system will generate a Termination of Membership packet with pre-populated data and customizable SCERS specified data fields (giving ability to SCERS users to modify letters and forms) from the system.	2
023.005	Terminations	Workflow & Case Management	The system will provide a workflow for a SCERS user to review and process a Termination of Membership packet.	2
023.006	Terminations	Reports, Forms & Letters	The system will provide the capability for SCERS to modify Termination of Membership packet letters as they see fit without the need for IT intervention.	1
023.007	Terminations	Workflow & Case Management	The system will provide the capability to generate follow up letters to a member that has not responded to a Termination of Membership packet after a SCERS specified period.	2
023.008	Terminations	Workflow & Case Management	The system will provide the capability to change the member's account status code if the distribution form (SCERS Form 6125) has not been received from the member after a SCERS specified number of days from the send date of the Termination of Membership packet.	2
023.009	Terminations	Workflow & Case Management	The system will add a work queue item for the SCERS user to whom the case has been assigned when a distribution form (SCERS form 6125) has been received to facilitate processing of the termination.	2
023.010	Terminations	Workflow & Case Management	The system will include barcoded information specific to the member and form type on all Termination correspondence and forms generated for distribution to the member. This coded information will be used to route work in the ECM workflow.	2
023.011	Terminations	Report, Forms & Letters	The system will provide the capability to generate a report of members that have not responded to a final Termination of Membership packet and haven't had their account status changed.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



023.012	Terminations	Workflow & Case Processing	The system will, as part of the termination workflow, alert the SCERS user if a hold has been placed on a member's account due to pending resolution of a dissolution of marriage and will prohibit the processing of a refund or benefit payment from the member's account.	2
023.013	Terminations	Workflow & Case Processing	The system will alert the SCERS user if the DRO flag has been placed on the member's account reminding the SCERS user to process the termination per the stipulations of the DRO.	2
023.014	Terminations	Workflow & Case Management	The system will determine, based on information in the system about a member, including applicable credit for reciprocal service, that the member is either vested or meets eligibility requirements (concerning age, years of service, and membership with SCERS) to receive a retirement benefit and alert SCERS that a refund is being requested.	2
023.015	Terminations	Workflow & Case Management	The system will provide the capability for SCERS to easily indicate on a terminated member's record that SCERS has contacted the member.	2
023.016	Terminations	Reports, Forms & Letters	The system will generate a Spousal Consent Waiver form (included in SCERS form 6125), barcoded and specific to the member, as a part of the termination refund workflow if the member's marital status is Married.	2
023.017	Terminations	Workflow & Case Management	The system will not allow the processing of a contribution withdrawal for a terminated member whose marital status is Married, unless an approved Spousal Consent Waiver (included in SCERS form 6125) is on file.	2
023.018	Terminations	Reports, Forms & Letters	The system will generate a letter within a SCERS specified period of time for payoff of a purchase contract as a part of the termination workflow if the member's purchase status is active at the time of termination.	2
023.019	Terminations	Workflow & Case Management	The system will require that an active purchase contract be closed before a member's termination status can be changed to another SCERS specific status.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



023.020	Terminations	Benefit Payments & Refunds	The system will provide the capability to initiate a workflow process to refund purchase contract payments received to date from the member if an active mandatory purchase contract is not completed within a SCERS specified number of days from termination (see 06 – Buybacks and 21 – Refunds processes).	2
023.021	Terminations	Workflow & Case Management	The system will alert the SCERS user if the member has an active purchase contract when the member's account is marked as terminated.	2
023.022	Terminations	Reports, Forms & Letters	The system will provide the capability to generate a notice to the Board of Retirement when a member is deferred with or without reciprocity, including article 9.	1
023.023	Terminations	Workflow & Case Management	The system will provide the capability to start a workflow for members that do not make a termination election and are vested and/or eligible for retirement.	1
023.024	Terminations	Workflow & Case Management	The system will provide the capability to mark accounts with different status codes based on a member's election (or due to non-response).	1
023.025	Terminations	Workflow & Case Management	The system will provide the capability to import a list of employment and demographic data on a SCERS specified schedule.	2
023.026	Terminations	Payroll Data	The system will be capable of sweeping a SCERS specified folder on a periodic basis and automatically importing any transmittal files stored there.	2
024.001	Web Portal/Self-Service	Benefit Calculation	The system will, for the Web Portal, provide members with a benefit estimate tool. The benefit estimator will use the member's information available from the system that is appropriate to the calculation, including aggregating multiple plan benefits together. The benefit estimator will allow members to do 'what if' calculations. The benefit estimator will accept manual inputs for final compensation, years of service, and age at retirement, and then produce an estimated benefit amount. The benefit estimator will be able to provide one estimate for members with multiple plans.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



024.002	Web Portal/Self-Service	Benefit Calculation	The system will, for the Web Portal, provide members with a reverse benefit calculator. The reverse benefit calculator will accept the member's desired pension amount at retirement and then calculate what is required in terms of age, service, and final compensation to achieve that amount. The reverse benefit calculator will allow members to do 'what if' calculations. The reverse benefits calculator will use any information available from the system that is appropriate to the calculation and also provide the option to include a service credit purchase in the calculation.	1
024.003	Web Portal/Self-Service	Benefit Calculation	The system will keep a record of the factors used to perform estimates for a SCERS specified number of times and will make the factors available to SCERS staff.	2
024.004	Web Portal/Self-Service	Benefit Calculation	The system will provide portal calculators that will present the results in such a way that the member knows what the estimates are based upon.	1
024.005	Web Portal/Self-Service	Benefit Calculation	The system will, for the Web Portal, provide members with a contributions calculator to help the member estimate the amount the employer will be taking out of the paycheck for SCERS contributions. The contributions calculator will use any information available from the system that is appropriate to the calculation.	1
024.006	Web Portal/Self-Service	Person Data	The system will, for the Web Portal, operate from replicated data refreshed from the system, usually each business day. The refresh schedule will be maintained by SCERS. All data presented on the portal will come from the system/ECM and no other source.	1
024.007	Web Portal/Self-Service	Reports, Forms & Letters	The system will, for the Web Portal, provide the capability for the member to print the results presented by the calculators.	2
024.008	Web Portal/Self-Service	Reports, Forms & Letters	The system will, for the Web Portal, provide users with the capability to access reprints of 1099R forms for any year on file, if available.	2
024.009	Web Portal/Self-Service	Reports, Forms & Letters	The system will, for the Web Portal, provide the capability for a user to view prior Member	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



	Service		Statements for any prior year.	
024.010	Web Portal/Self-Service	Security	The system will provide a Member Web Portal that will include access security features via secure sign-on with a user name/password.	1
024.011	Web Portal/Self-Service	Security	The system will, for the Web Portal, provide authentication techniques to ensure the member requesting sign-on credentials is in fact a SCERS member. Authentication techniques can include SSN, member ID, a series of security questions, image keys, account numbers, or combinations of these techniques.	1
024.012	Web Portal/Self-Service	Security	The system will, for the Web Portal, authenticate the request for initial user name/password prior to allowing the user to create a user name/password to access the Portal. The SSN is unique and can be used to obtain a username/password for the Portal.	1
024.013	Web Portal/Self-Service	Security	The system will, for the Web Portal, provide the capability for the member to create his/her own username and password. Once the initial sign-on is successful, the user will choose a unique user name to use for subsequent sign-on.	1
024.014	Web Portal/Self-Service	Security	The system will, for the Web Portal, require the member to obtain a new password if sign-on fails after a SCERS specified number of consecutive times within a short period of time. The number of failed attempts and the period of time allotted will be configurable by SCERS.	1
024.015	Web Portal/Self-Service	Security	The system will, for the Web Portal, reset the counter for unsuccessful sign-on attempts to zero upon a successful login.	1
024.016	Web Portal/Self-Service	Security	The system will, for the Web Portal, provide the capability for the member to recover their username if the member has forgotten. Re-establishing a user name will require that the user be authenticated again.	1
024.017	Web Portal/Self-Service	Security	The system will, for the Web Portal, provide the capability for the member to change the password and/or username at any time once signed-on successfully.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



024.018	Web Portal/Self-Service	Security	The system will, for the Web Portal, require users to change their password on a SCERS-determined frequency.	1
024.019	Web Portal/Self-Service	Security	The system will, for the Web Portal, require that a new user agree to the terms of an End User Agreement before the user can create a username/password to the Portal.	1
024.020	Web Portal/Self-Service	Security	The system will, for the Web Portal, employ role-based security schemes to control access to information.	1
024.021	Web Portal/Self-Service	Security	The system will utilize portal passwords compliant with California information security regulations regarding secure passwords.	1
024.022	Web Portal/Self-Service	Security	The system will, for changes made by users of the Web Portal, send change confirmation notification to the user by either e-mail, text, or paper mail, at SCERS' option.	1
024.023	Web Portal/Self-Service	Security	The system will, for the Web Portal, display the date and time of last login by the user.	1
024.024	Web Portal/Self-Service	Security	The system will, for the Web Portal, display the date and time of the last unsuccessful login attempt logged for their username, if any.	1
024.025	Web Portal/Self-Service	Security	The system will, for the Web Portal, provide secure/encrypted transmission of all data on the Portal, including authentication and sign-on credentials.	1
024.026	Web Portal/Self-Service	Security	The system will, for the Web Portal, provide SCERS system administration personnel with role-based capabilities to maintain the Portal. Such privileged tasks include locking members out of the portal, resetting Portal passwords for members, creating username/password on behalf of a member, and other tasks normally delegated to system administrators and help desk roles.	1
024.027	Web Portal/Self-Service	Security	The system will, for the Web Portal, provide capabilities to authenticate a user who has called SCERS for technical support. The support personnel may need to have access to the member's authentication tools (security questions, image keys, etc.) within the Portal in order to authenticate a caller.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



024.028	Web Portal/Self-Service	Security	The system will place a block on a member or benefit recipient's access to the Web Portal when a date of death is entered for that individual as a security measure.	1
024.029	Web Portal/Self-Service	Security	The system will mask any Social Security Numbers used on the Web Portal at all times.	1
024.030	Web Portal/Self-Service	System Data	The system will, for the Web Portal, advise the member to contact SCERS if information is incorrect.	1
024.031	Web Portal/Self-Service	System Data	The system will, for the Web Portal, use vocabulary that is member-friendly where possible. However, vocabulary used on the portal must abide by IRS wording, where applicable.	1
024.032	Web Portal/Self-Service	Usability	The system will, for the Web Portal, provide the capability for all benefit recipients to change their tax withholding status through the Web Portal, if SCERS chooses to use this functionality.	1
024.033	Web Portal/Self-Service	Usability	The system will provide a Member Web Portal that provides self-service capability to members and benefit recipients for a number of routine tasks that would normally require the member to call SCERS.	1
024.034	Web Portal/Self-Service	Usability	The system will, for the Web Portal, provide the capability for all benefit recipients to view their own payment data, current as of the last refresh.	1



Sacramento County Employees' Retirement System

RFP for Pension Administration System



024.035	Web Portal/Self-Service	Usability	<p>The system will, for the Web Portal, provide active, inactive, deferred members, and all benefit recipients with commonly-requested information about the member's account, such as that shown in the list below, for example:</p> <ul style="list-style-type: none"> • Demographics (name, address, etc.) • What documents do I have on file? Birth certificate, death certificate, DROs, marriage certificate, etc. • What is my current plan/tier? • What are my current contribution rates? • What is my current Final Compensation? • Current salary (hourly) • Average Salary based on plan/tier and measuring period used • Member's employment history • Date of member's original membership • Member's dates of service at each employer • Public service entry date • Earliest eligible retirement date • Service and contributions with SCERS by plan/tier • Identified reciprocal service • Beneficiary information • What are my breaks in service (Portal must state that this data is unverified until retired)? • All types of buybacks (service purchases) and purchases pending • AR balance for service purchase being made through payroll deductions • Refundable balances (funds on deposit) <p>For Benefit Recipients:</p> <ul style="list-style-type: none"> • What Retirement Option did I choose? • Who is(are) my elected beneficiary(ies) and at what percentage allocation? • By how much is the Social Security Modification increasing my retirement benefit, and for how long? • What will my Social Security Modification decrease to? 	2
024.036	Web Portal/Self-Service	Usability	<p>The system will, for the Web Portal, provide the capability for all users to view their name and address information on file at SCERS. Addresses will be current in the System for all users. Address information for Active members will be imported to the system through the employer payroll transmittal.</p>	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



024.037	Web Portal/Self-Service	Usability	The system will, for the Web Portal, provide the capability for members and benefit recipients to view their beneficiary data on file at SCERS.	2
024.038	Web Portal/Self-Service	Usability	The system will, for the Web Portal, provide the capability for members and benefit recipients to view data from their member's affidavit on file at SCERS.	2
024.039	Web Portal/Self-Service	Usability	The system will, for the Web Portal, provide the capability for benefit recipients to view their own payment data (payment advice), current as of the last refresh.	2
024.040	Web Portal/Self-Service	Usability	The system will, for the Web Portal, be able to discern how an individual is linked to master member account(s).	2
024.041	Web Portal/Self-Service	Usability	The system will, for the Web Portal, provide the capability for active, deferred, and inactive members to view contribution and interest balance, both taxable and nontaxable, current as of the last refresh.	2
024.042	Web Portal/Self-Service	Usability	The system will, for the Web Portal, display the date and time of the last data refresh once the user has signed-on successfully.	2
024.043	Web Portal/Self-Service	Usability	The system will, for the Web Portal, allow appropriate users (members, benefit recipients, etc.) to schedule a counseling session or appointment with SCERS staff using an online calendar and scheduling tool specific to the appropriate SCERS staff.	2
024.044	Web Portal/Self-Service	Usability	The system will, when a counseling session or appointment is scheduled in the system, display the date and time of the session on the member's Portal page, along with the name of the SCERS staff with whom the member will meet.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



024.045	Web Portal/Self-Service	Usability	<p>The system will permit active, inactive, or deferred member users of the Web Portal to perform the following tasks on the Web Portal, at a minimum:</p> <ul style="list-style-type: none"> • Perform estimates • Request service audits • Update/change/add beneficiary • Update/add address(es) (deferred and inactive only) • Update/add phone number(s) • Update/add email address(es) • Submit buyback requests • Apply for retirement • Submit refund application (terminated or deferred only) • Sign up for seminars • Schedule a counseling session or appointment • Request information • Print verification of service and account balances 	2
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Sacramento County Employees' Retirement System

RFP for Pension Administration System



024.046	Web Portal/Self-Service	Usability	<p>The system will permit retired member users of the Web Portal to view the following information, at a minimum:</p> <ul style="list-style-type: none"> • Refundable balances (regular C&I) • Demographics (name, address, etc.) • Beneficiaries • Percentage due to each beneficiary • Current benefit detail (including pension, annuity, COLA, and deduction amounts) • Employment date • SCERS entry date • SS Modification details • SS Modification end date • Tax information • SGR end • File documents • Accumulated hours for re-hired retirees working in a temporary position • 415(b) limit and accumulated annual benefit • 415(m) payment amounts • Retirement date • Option elected at retirement <p>The system will exclude certain information such as alternative payee information in this view.</p>	2
024.047	Web Portal/Self-Service	Usability	<p>The system will permit retired member users of the Web Portal to perform the following tasks on the Web Portal, at a minimum:</p> <ul style="list-style-type: none"> • Direct deposit changes • Tax withholding changes • Beneficiary changes (Burial allowance only) • Update/add address(es) • Update/add phone number(s) • Update/add email address(es) • Change authorized deductions by form upload (United Way, RESCO, etc.) • Print 1099R form • Print benefit details • Schedule appointments • Request information • Credit card payments • Print ECM documents (DRO, etc.) • Print income/benefit verification letters 	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



024.048	Web Portal/Self-Service	Usability	<p>The system will permit beneficiary users of the Web Portal to view the following information, at a minimum:</p> <ul style="list-style-type: none"> • Demographics (name, address, etc.) • Member's years of service • Current benefit detail (including pension, annuity, COLA, and deduction amounts) • Tax information • SGR end • File documents • 415(b) limit and accumulated annual benefit 	2
024.049	Web Portal/Self-Service	Usability	<p>The system will permit beneficiary users of the Web Portal to perform the following tasks on the Web Portal, at a minimum:</p> <ul style="list-style-type: none"> • Direct deposit changes • Tax withholding changes • Update/change/add beneficiary • Update/add address(es) • Update/add phone number(s) • Update/add email address(es) • Print 1099R form • Print benefit details • Schedule appointment • Request information • Print income/benefit verification letters • Credit card payments • Print ECM documents (DRO, etc.) 	2
024.050	Web Portal/Self-Service	Usability	<p>The system will permit an ex-spouse and non-member users of the Web Portal to view the following information, at a minimum:</p> <ul style="list-style-type: none"> • Demographics (name, address, etc.) • Member's years of service awarded or percentage they are receiving • Current benefit detail (including pension, annuity, COLA, and deduction amounts) • Tax information • SGR end • File documents • 415(b) limit and accumulated annual benefit <p>The Portal will exclude unnecessary member information and data from being viewed.</p>	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



024.051	Web Portal/Self-Service	Usability	<p>The system will permit an ex-spouse and non-member users of the Web Portal to perform the following tasks on the Web Portal, at a minimum:</p> <ul style="list-style-type: none"> • Direct deposit changes • Tax withholding changes • Update/add beneficiary • Update/add address(es) • Update/add phone number(s) • Update/add email address(es) • Print 1099R form • Print benefit details • Schedule appointment • Request information • Print income/benefit verification letters • Print ECM documents (DRO, etc.) <p>The Portal will not allow an ex-spouse or non-member to see or change anything on a member's account.</p>	2
024.052	Web Portal/Self-Service	Usability	The system will, for the Web Portal, not preclude the serving of images of Banking documents from an in-house ECM in the future, if SCERS so chooses.	2
024.053	Web Portal/Self-Service	Usability	The system will, for the Web Portal, provide capabilities to allow benefit recipients to access banking information.	2
024.054	Web Portal/Self-Service	Usability	The system will, for the Web Portal, meet current ADA requirements and have the ability to adjust for future requirement changes.	2
024.055	Web Portal/Self-Service	Usability	The system will, for the Web Portal, provide the capabilities for the benefit recipients to change tax-withholding information.	2
024.056	Web Portal/Self-Service	Usability	The system will, for the Web Portal, provide accessibility to all those users who may be unable to discern color. Choices that the user/member must make on the Portal will be depicted by color and text, if color is used at all.	2
024.057	Web Portal/Self-Service	Usability	The system will, for the Web Portal, provide accessibility to users who are seeing-impaired.	2
024.058	Web Portal/Self-Service	Usability	The system will, for the Web Portal, provide the capability for the user to change the size of the font used to display content.	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



024.059	Web Portal/Self-Service	Usability	The system will, for the Web Portal, provide the capability to zoom in/out on content displayed as a pdf or image.	2
024.060	Web Portal/Self-Service	Usability	The system will, for the Web Portal, provide accessibility to members who are not proficient with English. The Portal will provide the member with the option to display the content in English, Spanish, and/or other languages as selected by SCERS in system design.	2
024.061	Web Portal/Self-Service	Usability	The system will, for the Web Portal, provide the capability for the member to affix an electronic signature to documents.	2
024.062	Web Portal/Self-Service	Usability	The system will, where forms are particular to a member's account, generate forms that are prepopulated using member data from the system, just as though they were generated from the system by a SCERS user. Blank forms that are not particular to the member's account will be available on the Portal and are available on www.SCERS.org.	2
024.063	Web Portal/Self-Service	Usability	The system will, for the Web Portal, support upload of scanned documents, photos, and other digital files by the user as submission to SCERS.	2
024.064	Web Portal/Self-Service	Usability	The system will, for the Web Portal, be capable of integrating with ECM so that documents uploaded through the Portal by users are properly indexed and placed in the member's file in ECM.	2
024.065	Web Portal/Self-Service	Usability	The system will, for the Web Portal, be capable of integrating with ECM functionality to display member file documents to the member on the Portal.	2
024.066	Web Portal/Self-Service	Usability	The system will provide the capability for SCERS to turn features or displayed member data elements on and off, as needed.	2
024.067	Web Portal/Self-Service	Usability	The system will, for the Web Portal, permit direct update of certain member information via the Portal and any updates submitted by the Portal user will require internal review prior to being updated in the system.	2
024.068	Web Portal/Self-	Usability	The system will, for the Web Portal, provide the capability for benefit recipient to obtain a	2



Sacramento County Employees' Retirement System

RFP for Pension Administration System



	Service		copy of a payment advice.	
024.069	Web Portal/Self-Service	Usability	The system will provide the capability to alert vested Members who apply for a refund of contributions and interest.	2
024.070	Web Portal/Self-Service	Usability	The system will, for the Web Portal, permit the user to email SCERS directly through the Web Portal.	2
024.071	Web Portal/Self-Service	Usability	The system will, for the Web Portal, provide the capability for SCERS staff to change the look of the Portal for consistent branding with www.SCERS.org	2
024.072	Web Portal/Self-Service	Usability	The system will provide the capability for a user with multiple accounts to access all accounts with the corresponding access privileges under a single username and password.	1
024.073	Web Portal/Self-Service	Workflow & Case Management	The system will provide the capability to provide status updates for the various types of processes (i.e., Disability application, Retirement application, Refunds, Death Benefits, etc.) and to alert members for required documents, appointments, and other SCERS specified actions.	2
024.074	Web Portal/Self-Service	Usability	The system will provide the capability of the Web Portal to link to SCERS' existing website at www.SCERS.org	2
024.075	Web Portal/Self-Service	Usability	The system will integrate Web Portal functionality seamlessly with the other components of the system, including ECM.	2



Attachment 4: Functional Requirements Response

1 Response Questions

The Bidder shall respond to the questions listed below by providing detailed information that will allow SCERS to better understand the Bidder's ability to implement the functional requirements. The answers to the questions will also help SCERS determine whether the Bidder's prior client has experienced any business benefits after implementing their PAS. The response should be in MS Word or PDF format.

1. The Bidder shall confirm that all priority 1 and 2 requirements will be delivered for a fixed price.
2. The bidder shall confirm that all the priority 3 requirements will be delivered for the fixed cost, except for those that are itemized for additional cost. Those requirements should be clearly listed with itemized costs for delivery.
3. The bidder shall clearly list all priority 4 requirements that will be delivered for the fixed cost and shall itemize those that will not be delivered.
4. For each system process (1099R Issuance, 415(b), Active (Employer) Payroll Data, Actuarial Extracts, Benefit Estimates, Buybacks (Service Purchase), COLA / Special COLA, Counseling, Death Processing, Disability, DRO, Final Average Salary Calculations, General Ledger Extracts, Payroll Deductions (Vendor Payments), Interest Posting, Member Statements, New Hire / Re-hire, New Retiree Benefit, Set-up, Payment Maintenance, Reciprocity, Refunds (all one-time payments), Retiree Payroll, Terminations or major functional area (i.e., member web portal, employer portal, CRM), please draft a maximum 3-page response that explains in clear, non-technical language how the system performs the process.
5. For FIVE (5) of the processes/areas described above, please provide a minimum of one example of how the system improved the process for a client. The improvement could include reduction of processing time, reduction of errors, enhanced customer service, etc. Please include the name of the client and a staff member who is knowledgeable about the process (please include their email and direct line). Each example should be a maximum of four pages for each process.

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

Contents

CONTENTS0

1 INFRASTRUCTURE.....2

1.1 Technical Staff.....2

1.2 Computers and Networking.....2

1.3 Hosting.....3

 1.3.1 Option 1: DTech - Hosted.....3

 1.3.2 Option 2: Vendor-Hosted During Development Only.....3

 1.3.3 Option 3: Vendor-Hosted After Go-Live.....3

 1.3.4 Disaster Recovery – Vendor-Hosted Option.....4

1.4 Current Systems in Use at SCERS.....4

 1.4.1 Pension Administration System.....7

 1.4.2 Pension Payroll.....8

 1.4.3 Employer Reporting.....8

 1.4.4 General Ledger.....9

 1.4.5 Document Imaging.....10

 1.4.6 Reporting / Business Intelligence.....10

1.5 Workflow Tools.....10

2 CRITICAL INTERFACES10

3 HARDWARE.....14

3.1 Servers.....14

3.2 Desktops.....14

3.3 Storage.....15

3.4 Printers, Scanners, Cables, and Other Peripherals.....15

4 SOFTWARE.....15

4.1 Security and Controls.....15

5 TECHNICAL ARCHITECTURE16

5.1 Application Architecture.....17

5.2 Data Architecture.....17

5.3 Platform Architecture.....18

5.4 Integration Architecture.....18

5.5 Security Architecture.....18

6 OPERATIONAL REQUIREMENTS.....19

6.1 System Sizing and Performance Requirements.....19

6.2 Scalability Requirements.....20

6.3 Availability.....20

6.4 Software Version Control.....21

6.5 Redundant Storage.....21

6.6 Recovery.....21

7 INTEGRATED ECM.....21

8 WORKFLOW & CASE MANAGEMENT – BUILT-IN FEATURES.....22

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

9	MEMBER PORTAL / SELF SERVICE	22
10	STANDARDS.....	23
10.1	User Interface Standards.....	23
10.2	Configuration Standards	24
10.3	Universal Update	24
10.4	Database	24
11	IMPLEMENTATION REQUIREMENTS	24
11.1	Requirements Confirmation Standards	24
11.2	Testing Standards	25
11.3	Training and Training Manual Standards	25
11.4	Project Documentation	26
12	REQUIREMENTS	27
12.1	Priority Levels	27
	Priority 1 and 2 Specifications.....	27
	Priority 3 and 4 Specifications.....	27
	Technical Descriptions and Requirements	28
12.2	Application Requirements	28
12.3	Member Portal Requirements	41
12.4	Partner (Employer/Vendor) Portal Requirements.....	44
12.5	Mobile Application Requirements.....	45
12.6	Correspondence Requirements	46
12.7	Reporting Requirements	49
12.8	CRM & Telephony Requirements	49

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

Attachment 5: Technical Requirements

SCERS' foundational technical requirements are described here.

1 Infrastructure

1.1 Technical Staff

SCERS has one internal IT Analyst performing a variety of IT functions for the organization, including systems administration, help desk functions, training, research and procurement, vendor relations, and pension database administration. The IT Analyst fills the equivalent Sacramento County position of IT Analyst II, representing a single full-time employee.

The Sacramento County Department of Technology (DTech) provides support for networking, email, telephony, MBASE, COMPASS, and FileNet.

1.2 Computers and Networking

The new Pension Administration System will be compatible with the current operating system environment at SCERS, and will maintain acceptable migration strategies regarding operating system updates and upgrades.

The table below describes the computing environment currently in place for SCERS.

Item	System	Environment
Browser		Microsoft Internet Explorer 11, Google Chrome AND Firefox.
Desktops	Dell	Windows 7 Pro
Laptops	Lenovo and Dell	Windows 8.1
Networking		Provided by DTech (vendor)
Productivity software		Microsoft Office 2010 Pro Adobe Acrobat Pro, Adobe InDesign, IDEA Data Analysis, Monarch Data Analysis
Servers	Virtual servers hosted by DTech (vendor)	Windows Server 2012 R2 Standard Microsoft SQL Server 2012
VPN		Sacramento County does have a VPN available, but it is not used by SCERS Staff for daily work

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

1.3 Hosting

SCERS has not made a firm decision on how the new system will be hosted, but given SCERS' limited resources available to house, maintain, and service a new pension administration system, a vendor-hosted or "software as a service" solution will be seriously considered. SCERS is open to new technology and would like to obtain as much information as possible from the bidders regarding the commodity software (including database licenses) and hardware requirements, along with recommendations regarding hosting. From that perspective, SCERS would consider these options:

1.3.1 Option 1: DTech - Hosted

SCERS currently utilizes DTech facilities to provide the hardware and software on a fee-for-service basis for their existing pension administration system. In this option, the new system would be hosted in a similar fashion by DTech. SCERS would expect dedicated resources to the Pension Administration System installed and managed by DTech. If the bidder proposes a solution based on this option, the cost proposal should include all the necessary components (both software and hardware) to implement this solution.

Note: SCERS and Sacramento County have access to government pricing through the state of California, so it may not ultimately purchase the necessary components through the winning software vendor, but this information is still needed for the evaluation process.

1.3.2 Option 2: Vendor-Hosted During Development Only

In this option, the vendor would host the complete system development environment for the duration of the project and then assist with the migration of the environment to SCERS before going live with the system.

1.3.3 Option 3: Vendor-Hosted After Go-Live

In this option, the vendor would host the complete solution environment for the duration of the project and thereafter as a "software as a service" type solution. SCERS would also consider a solution in which the vendor hosts the solution for a period of one to two years after go-live and then assist with the migration of the environment to DTech. While a vendor-hosted solution may be most compatible with SCERS' resources, it is not necessarily a requirement, and SCERS will consider hosting options or strategies that can be shown to provide good value, low risk, and acceptable performance.

With option 2 or 3, the software vendor or a third-party provider contracting with the software vendor will maintain the physical environment at the vendor's or third party location and the system will be accessed securely by SCERS staff. Bidders will be

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

encouraged to include detailed information on hosting and support of the application in their response to the RFP.

1.3.4 Disaster Recovery – Vendor-Hosted Option

If SCERS opts for a vendor-hosted solution, it requires the vendor have another Disaster Recovery (DR) site to be hosted geographically distanced from its main headquarters sufficient to avoid a natural disaster in the region. SCERS prefers this hosted DR site to be part of the Pension Administration System package. The site should be inclusive of the following:

- Availability of network appliances, storage appliances, servers, and web hosting, as applicable, at the site location. The site must cover maintenance of these appliances and services.
- Availability of secured file transfer protocol for full and incremental updates to the database and applications.
- Site immediate readiness upon activation of the Business Continuity Plan (BCP). The system application and Member Web Portal should be available for use with the latest data feed.
- Site must conform to security standards and employ security measures such as firewall, DMZs, IPS, etc.

1.4 Current Systems in Use at SCERS

The table below represents the various systems that will be replaced as part of this system replacement project.

System Name	Description	Replace or Implement (as part of this project)
MBASE	MBASE is a custom application used to import and track data on active and inactive members, excluding retirees and beneficiaries. It also has an interface that imports data from several payroll systems for County employees, Special Districts, and the Courts. It is considered a member records database, rather than a fully functional PAS solution.	Replace
COMPASS	COMPASS is an SAP system used by the County of Sacramento for accounting, payroll, personnel management,	Replace



Sacramento County Employees' Retirement System

RFP for Pension Administration System

TECHNICAL REQUIREMENTS



System Name	Description	Replace or Implement (as part of this project)
	procurement, and other functions.	
SCERS Web	This is the member portal created and maintained by DTech that allows members to view their current account information and to calculate their benefits using various assumptions and projections.	Replace
Excel	Microsoft Excel is also used by Benefits Staff to handle calculations and functions that are not available or are too complex for the current system to handle.	Replace
Microsoft Word	The Microsoft Word application is used by SCERS to generate letters.	Replace
Microsoft Access	Microsoft Access databases are used to track and store miscellaneous information on active, inactive and retired members.	Replace
ECM	SCERS uses the FileNet/Workplace enterprise content management system. This system is used by SCERS for its document management needs. Essentially FileNet is used as a record storage tool. The paper files are scanned into the system once the end users have completed processing the work associated with the paper files.	To be decided
N/A	Workflow system/tools	Implement
N/A	Employer File Reporting Web Portal / Self-Service application	Implement
N/A	Vendor Web Portal / Self-Service application	Implement

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

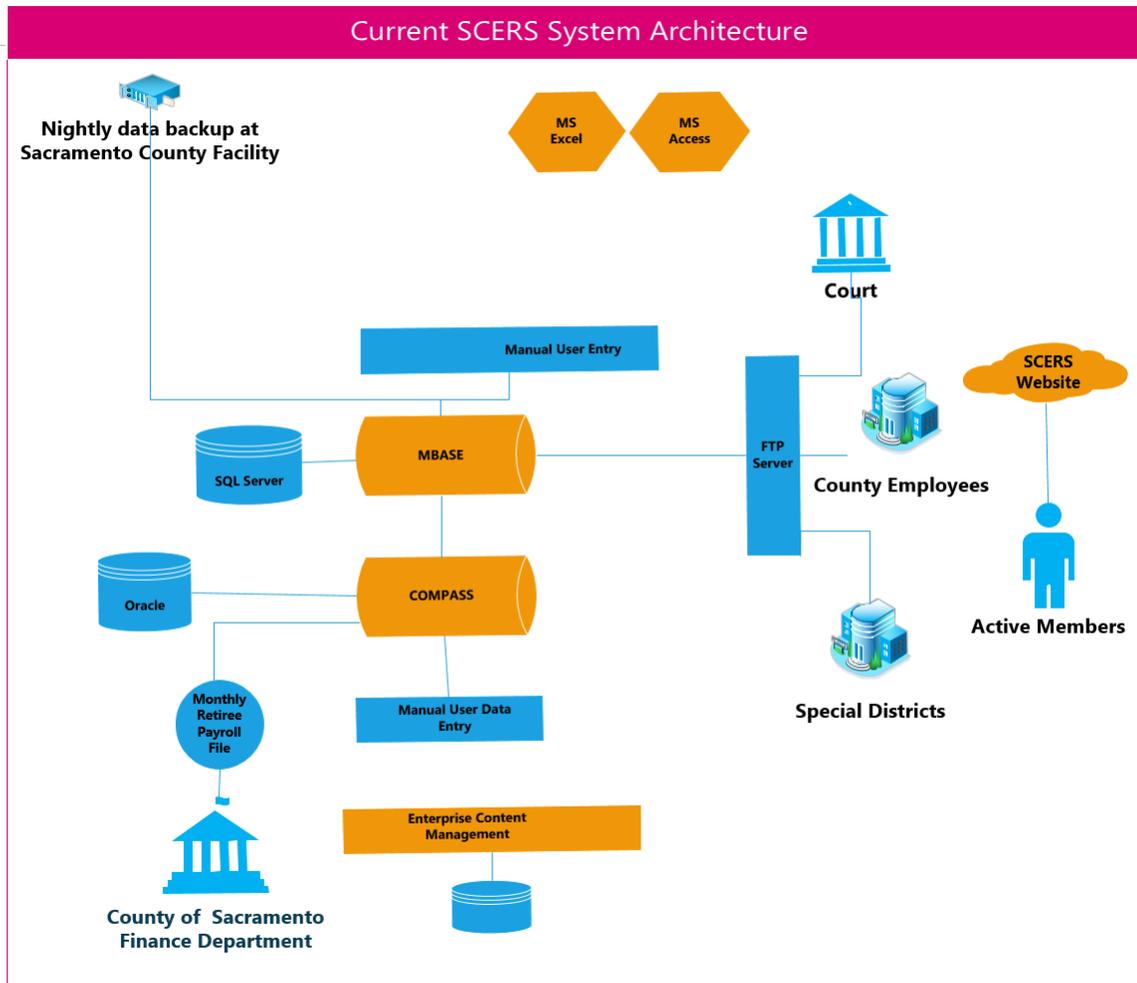


Fig 1.0 Basic Overview of Current System Architecture

The following subsections focus on the systems that directly impact the core business functions at SCERS. Special consideration should be given to those systems that are identified in the table above as being replaced as part of this project.

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

1.4.1 Pension Administration System

The processing of the current SCERS' Pension Administration functionality is performed by the following two Applications, MBASE and COMPASS. MBASE is a custom application written in Visual Basic and .Net, with a SQL server database (2008 currently). It is maintained by the County of Sacramento Department of Technology (DTech) and is used to import and track data on active and inactive members, excluding retirees and beneficiaries. MBASE has an interface process that imports data from several payroll systems for County employees, Special Districts, and the Courts. It is considered a member records database, rather than a fully functional pension administration system solution. COMPASS is a SAP system used by the County which SCERS has adapted to use for their accounting, HR, procurement and to process retiree benefit payments. Manual entry of member information from MBASE to COMPASS is needed whenever someone applies for retirement.

MBASE and COMPASS Systems are used to import and manage member and beneficiary data, run batch processes, and issue retiree payroll. Data must be hand keyed from MBASE to COMPASS. Screens are unintuitive and require staff to understand the process prior to executing the work.

The legacy systems support the following business processes:

- a. 1099R Issuance
- b. 415(b) and 415(m) maintenance
- c. Processing Employer Payroll Data
- d. Actuarial Extract Reporting
- e. Computing Benefit Estimate
- f. Processing Buybacks (Service Purchase)
- g. Processing COLA / Special COLA payment
- h. Counselling
- i. Death Processing
- j. Disability
- k. Create and update DRO records
- l. Processing Final Average Salary Calculations
- m. Generating General Ledger Extracts
- n. Processing Healthcare Premium and Other Deductions
- o. Processing Interest Posting
- p. Generating Member Statements
- q. Processing New Hire / Re-hire
- r. Processing New Retiree Benefit Set-up
- s. Payment Maintenance
- t. Processing Reciprocity
- u. Processing Refunds (all one-time payments)

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

- v. Processing Retiree Payroll
- w. Processing Terminations
- x. Processing Vendor Payroll
- y. Web Portal / Self-Service

1.4.2 Pension Payroll

The monthly Retiree Pension Payroll run is processed in COMPASS. The payroll reports are reviewed manually using spreadsheets to verify the changes from the previous month. Reserve movements are recorded manually. All retirements are manually keyed to verify the changes from the previous month. Compass generates the Monthly Retiree Pension Payroll file. Printing and ACH transmissions of SCERS pension payroll functions are performed by the County Department of Finance (DOF). DOF generates a Direct deposit file via a batching process and transmits it to the Wells Fargo Bank. DOF also prints the checks and advices and mails them out. Vendor payments are made by DOF. SCERS plans on paying vendors through the new system in the future. Currently SCERS does not import any type of payment verification file from the banks; this functionality is desired in the future.

For the future solution, SCERS would like to have the Retiree Payroll functions be fully automated in the new PAS. This will ensure the automation of the following activities:

- a. Addition of new retirees into the payroll automatically.
- b. Generation of interfaces to go to the bank, tax agencies and other vendor payments.
- c. Flow of reserve movements generated through to the G/L

SCERS would like to prefer the pension payroll functions currently performed by DOF to be performed either in-house and/or with a payment processing vendor.

1.4.3 Employer Reporting

In the current environment, there are 13 employers using 4 payroll systems to submit the member payroll information. Although there is an employer portal to be used for reporting, it is not used or accessible by all employers, and in some cases SCERS staff key in the information themselves from spreadsheets that are submitted. There are currently some validations to identify incorrect data, but these occur after the payroll has been submitted to SCERS, so SCERS staff generally log into the appropriate system to make the corrections.

The new PAS must provide the following functionality for the employers to process the payroll files:

- a. Upload files to an employer web portal for processing OR allow smaller employers to manually enter data on a web form.

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

- b. Obtain feedback on errors on the files in real-time and adjust as needed.
- c. Have the system re-process the files after making corrections.
- d. Process the files based on user-selected periods.
- e. Upload/download documents.

1.4.4 General Ledger

The G/L processing functionality in the current SCERS PAS is cumbersome and limited due to the following reasons:

- a. Manual data extraction of G/L data required from MBASE
- b. Manual input of G/L data extracted from MBASE required into COMPASS
- c. Ability to change/customize the Chart of Accounts is limited, since the G/L reflects Sacramento County's Chart of Accounts.
- d. Lack of a G/L interface from the current PAS to the Financial Reporting System (FRS).
- e. Lack of functionality for the SCERS staff to automatically import transactions into G/L.

SCERS' would like to have the new PAS to implement the following G/L functionality:

- a. Creating a monthly G/L file extract that would be imported to the Financial Reporting System for Corporate Accounting, and/or to COMPASS, depending on the timing of the Financial Reporting System project
- b. Limiting the entry of manual G/L data entries.
- c. Reporting majority of member transactions, including reserve movements via a G/L interface file extract.

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

1.4.5 Document Imaging

SCERS is utilizing the FileNet Workplace application as the Electronic Document Management System. The FileNet Workplace application is not integrated with MBASE, but documents are viewable via a portal within MBASE. FileNet Workplace is also not integrated with COMPASS. A stand-alone microfiche document management solution is used for pre-1991 archived documents. There exist approximately 580,000 images in FileNet and approximated 2000 images are added monthly.

SCERS does not yet have a preference as to whether they would want the new PAS to be integrated with the FileNet Workplace application or whether they would prefer migrating the images stored in the FileNet Workplace to the new Enterprise Content Management (ECM) module. SCERS will be deciding their preference based upon whether the new PAS solution can be interfaced with FileNet Workplace application and the ECM capabilities to be provided by the new PAS solution.

1.4.6 Reporting / Business Intelligence

SCERS staff members utilize MBASE for generating batch reports for contributions and COMPASS for generating payment advices for benefit recipients. However, because of the limitations of these systems, staff members have developed numerous work-arounds to get data. The staff members use MS Access and MS Excel to generate various reports. SCERS does not currently utilize a data warehouse or practice business intelligence processes and analytics.

It is expected that the new system will replace SCERS' existing reporting methods and will provide robust reporting functionality to end users. Also, SCERS would make use of a new system's ability to provide case management and business intelligence functionality.

1.5 Workflow Tools

SCERS does not currently have workflow tools. SCERS would like to have the new PAS solution to provide the necessary Workflow tools for SCERS to be able to integrate workflow functionality with document imaging into its business operations through the Pension Administration System tools.

2 Critical Interfaces

SCERS has identified a series of critical interface files that must be part of the system. These have been summarized in the table below. For many processes performed in COMPASS the

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

input data is entered manually and the output data is extracted manually. Please note that all the files listed below are to be considered for the scope of the project. The bidder has also to fulfill the following Interface requirements as part of implementing the new PAS:

- a. All current PAS interfaces imported into MBASE AND COMPASS must be imported to the new PAS.
- b. All current PAS interface exported out from MBASE and COMPASS must be exported out from the new PAS.

Interface	Imported into SCERS System / From?	Exported out of SCERS System / To?	New Interface?	Expected to change within scope of PAS solution
1099R Transmittal File	NO	YES / IRS	NO	The system will generate a 1099R transmittal file for the IRS.
ACH File – Payment Reconciliation File	NO	NO	YES	The system will successfully import and process a payment reconciliation file sent by the bank.
ACH Files – Process Direct Deposit Payment Files	NO	YES / Bank	NO	The system will generate the following ACH files for upload to the bank: NACHA – Direct Deposit and Pre-Note
Active Payroll Transmittal File	YES / Plan Sponsors	NO	NO	The system will successfully import payroll interface files and allow for configurability to accommodate any future modifications to the transmittal file.
Actuarial File	NO	YES / Actuary	NO	The system will generate an actuarial extract file that can be customized by SCERS as actuarial needs change.
Actuarial Query	NO	YES / Actuary	YES	The system will provide a secure actuarial (vendor) interface, access which is controlled by SCERS, that will allow the actuary to query the system for needed information

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

Interface	Imported into SCERS System / From?	Exported out of SCERS System / To?	New Interface?	Expected to change within scope of PAS solution
				during specific windows of time allowed by SCERS.
Actuary Factors	YES / Actuary	NO	NO	Currently the actuary data is manually keyed into SCERS' system each year. The system will allow an electronic import of the actuary data.
Benefit Payroll File	NO	YES	NO	The system will generate interface files to print monthly and lump sum checks for payments due to benefit recipients.
DE-9 / DE-9C	NO	YES	NO	The system will generate files to generate appropriate DE-9 wage and tax reports for the State of California.
Death Match Report (Life Status 360)	NO	YES/ Life Status 360	YES	The system will successfully import and process a Death Match Report interface file submitted by the vendor.
G/L Interface	NO	YES/ SCERS FRS (Corporate Accounting)	YES	The system will generate a G/L file which will be successfully exported to the SCERS new Financial Reporting System for Corporate Accounting.
Health Insurance Deduction Premium withholding files	YES	NO	NO	The system will import and validate the data in the Health Insurance Premium Withholding Files and incorporate the deduction amounts for each payee into the payroll process.
IRS 1042S	NO	YES / IRS	NO	The system will generate files for generating the 1042S Foreign Person's US Source Income Subject to Withholding forms.

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

Interface	Imported into SCERS System / From?	Exported out of SCERS System / To?	New Interface?	Expected to change within scope of PAS solution
IRS 945	NO	YES / IRS	NO	They system will generate files for generating the appropriate 945 wage and tax reports for the IRS.
Tax Payment Wire Transfers	NO	YES / Bank	NO	Currently wire transfer documents are created manually. The future system will create them based on the results of the payroll or refund batch tax withholdings.
Tax Tables	YES / IRS	NO	YES	Currently the new tax tables are manually keyed into SCERS' system each year. The system will allow an electronic import of the new tax tables.
Vendor deduction files	NO	YES	NO	The system will generate summary and detail files separately for each selected vendor indicating the deduction amounts, name, etc. of the member following retiree payroll processing.
Vendor Payroll File	NO	YES	NO	The system will generate interface files to print paper checks for payments due to vendors

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

3 Hardware

SCERS is considering hosting options for this project, but should it determine that it will be hosted by DTech, it will require the bidder to specify the hardware required to run the system properly. Thus, the bidder will need to include in the response a list of recommended hardware or virtual specifications and configuration required for the overall solution. This includes recommendations on appropriately sized production, test, training, QA and reporting environments for use during and after the implementation. Test environments should have the ability to be refreshed simply by copying an existing database. The recommended hardware configuration must support all the RFP requirements and be capable of expansion to support future capabilities as described in this RFP.

3.1 Servers

The bidder should recommend hardware or virtual specifications to support a platform that accommodates an estimated 50 total end users (not including members/partners accessing the portals) with approximate concurrent use by 90% of the end users. It should be noted that SCERS is anticipating adding more end users by the time the new PAS solution is implemented. However, SCERS does not expect significant additional growth in the number of users over time. The hardware should be sized so that the response requirements elsewhere in this RFP are met. The bidder should assume a 1% increase in end user activity per year, with a 2% growth in member use of the web portal per year.

To the extent that the bidder recommends server virtualization as a cost-effective solution for the overall configuration of the solution, SCERS would like the cost proposal to reflect this type of configuration. The cost should include all recommendations for number of CPUs, memory and hard disk space requirements on the virtual server.

3.2 Desktops

While SCERS currently uses desktop PCs and associated peripherals, SCERS would like to understand the minimum requirements for desktop PCs necessary to support the bidder's solution. The bidder should recommend the minimum capacity of desktop PCs to employ the proposed solution. Included should be details on memory size, local disk space, processing power, operating system, number of monitors, as well as any additional required software.

Desktop users must not be required to be an Administrator on their local PC. Non-standard user rights required for the solution must be specified in the bidder's response.

SCERS PCs currently run Windows 7 Professional with Trend Micro VirusScan OfficeScan on all desktops. The solution must allow for virus scanning and security updates on PCs without vendor support. The vendor is required to keep their software up to current security standards always.

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

3.3 Storage

SCERS currently utilizes Kofax for imaging documents and FileNet Workplace as a storage solution. Approximately 50-75 documents are imaged and stored in FileNet Workplace daily. All new images are stored in PDF format and older documents have been stored in TIFF formation. A stand-alone microfiche document management solution is used for pre-1991 archived documents. SCERS expects that all the required microfiche images as well as key monthly reports containing pay and service date will be extracted and converted to PDF images as part of a separate Data Conversion Service Project. SCERS expects the microfiche images will be migrated to the new PAS (or the current FileNet system) for storage and retrieval as part of a separate Data Conversion Service Project.

3.4 Printers, Scanners, Cables, and Other Peripherals

Within this section, bidders should provide a list of all other hardware accessories needed (servers, printers, cables, connection equipment, routers, storage devices, etc.) to fully implement their solution.

The hardware assessments must include recommendations on printing capacity for the myriad reports and outputs of the solution, including but not limited to batch reports, member statements, payment advices, and other member communication. Printing capabilities should enable users to send print jobs to any local or networked printer and change default printer settings.

SCERS requires that the solution have capabilities to provide check files to a third party for printing and/or capabilities to print checks in-house. The solution will also be used to transmit or print ACH advices. Pension Payroll and Distributions processing will be handled by the system.

4 Software

Full technical documentation and end-user documentation are required as well as a complete Data Dictionary describing the database, tables, and fields.

4.1 Security and Controls

Security of member data is of paramount importance and must be demonstrated by the bidder. All logins must be tightly mandated under the strictest security protocols. Rather than designate authorization by user, access and security control will be administered by roles/groups. Access to specific screens and functionality should be controlled by an authorized logged-in user ID and offer, at a minimum, these access controls:

- Menu access

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

- Screen access
- Screen function access
- Field level access
- Transaction access (certain types of transactions)
- Process access (wizards, etc.)
- Transaction approval process
- Administrator Controls
- Ability to limit member/person search to SSN/EID (restrict name search)
- Ability to log searches and screen access by user

SCERS does not have the need for field-level security, although if available, it may take advantage of it. In general, SCERS requires the ability to prevent users from accessing certain modules or system functions. SCERS foresees the following types of roles, with System Administrator having full access and Restricted User having minimal access.

- System Administrator
- Power User
- Standard User
- Restricted User (temporary employees)

This controlled access must also correspond to the divisions between user roles. The full configuration of the security, access points and roles in the system should be designed with collaboration with SCERS' staff before testing of the final solution takes place.

Additionally, the bidder must include information on overall login and password handling defaults for their solution, including but not limited to:

- Password lengths and general password requirements
- Login handling – e.g. how many unsuccessful attempts will result in a lock out, etc.
- Audit trail and logging information
- Notifications, Reporting and Monitoring
- Encryption use and levels
- Other pertinent information

5 Technical Architecture

The following sections define the project's technical architecture requirements.

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

5.1 Application Architecture

Application architecture identifies criteria and techniques associated with the design of applications for SCERS' computing environment. The solution should be one that can be modified easily to respond to SCERS' changing business needs, as well as to the information technologies available to support those needs. The solution must be designed along logical application boundaries that mimic the business processes they support.

The solution must enable:

- Ease of integration with existing software applications and software tools that will continue to be used outside of the pension administration system
- Reuse of existing software applications and software tools used outside of the pension administration system
- Ease of deployment of new modules and/or additional or enhanced functionality
- Parameter-based and effective-date-driven configuration of SCERS' business rules
- Externalized business rules, (e.g. using iLOG), so that it will be easier to setup new business rules
- Scheduling of jobs, reports, and generation of various export files

The solution generally must be designed for on-line processing in real time. Solutions that rely on periodic batch jobs to update the database are strongly discouraged. This requirement does not include periodic mass update jobs such as interest posting, COLA granting, monthly active payroll interface processing, etc. For these necessary system functions, SCERS would like to ensure minimal interruption of user activity while they are running, while ensuring data integrity. For special circumstances, the system should temporarily disable users from being able to make any changes until critical processes such as payroll or interest posting have been concluded. In addition, the solution will have the capability to schedule and run any required batch jobs to completion without user intervention.

5.2 Data Architecture

Data Architecture establishes and maintains a flexible infrastructure that facilitates data access, data definition, data management, data security, and data integrity across SCERS' domain. The bidders should propose data architecture appropriate to SCERS' needs and current industry best practices.

As part of its data storage architecture, the system must use a relational database management system (RDBMS) with schemas normalized as much as possible, per current industry standards.

The system must provide data auditing and reporting.

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

The system should provide the data encryption at the database, table, and field level, although SCERS is open to solutions that allow for the encryption of only sensitive data (i.e., PII, banking information).

5.3 Platform Architecture

Platform architecture identifies hardware and associated operating systems sustaining SCERS' core business. Such architecture describes the application infrastructure as well as the storage architecture for the resulting data.

The vendor must outline the platform technology proposed for this implementation (e.g. Microsoft Windows server and Windows desktop operating systems), including overall architecture, software and hardware requirements. In the vendor's hosted / co-located option, the vendor should also include software, hardware and networking requirements for SCERS staff to be able to access the system remotely.

5.4 Integration Architecture

Integration architecture describes how communication between different applications and platforms can be achieved. The introduction of any new applications must be accompanied by strategies to incorporate them into SCERS' current – or future – integration architecture. Vendors should demonstrate their approach to integration, including a discussion of open Application Programming Interfaces (API) and/or other Service Oriented Architecture (SOA) based techniques that will enable their solution's integration with the present architecture.

Compliance with all National Automated Clearing House Association (NACHA) requirements for transactions that are performed electronically (EFTs, ACHs and others) is required.

5.5 Security Architecture

Security architecture describes the requirements and policies of safeguarding, accessing and distributing SCERS data. Features of successful security architectures include identifying users, authorization, authentication, auditing and tools for administering, updating and maintaining the system. Given that virtually every level of the enterprise requires some level of access to sensitive data, the security architecture of the proposed solution must be available across all users, all applications and all platforms where necessary. Such modifications must not impede the flow of business; in fact, security should enable efficient processing and operations while concurrently protecting against all security breaches or violations in protocol.

Vendors must also outline details surrounding the security architecture to ensure secure communications between the clients located at SCERS and the system/server that is hosted at the vendor site or at a 3rd party provider. If parts of the system will be accessed via a web

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

browser outside of SCERS' internal network, the most recent Secure Sockets Layer (SSL) for secure communication between Web servers and Web browsers must be in place and a detailed description of all security and safety measures should be included in the response.

If possible, Personal Identification (PID) values / numbers (member numbers) should always be used in place of SSNs for all integrated connectivity. In other words, any integration with another system (such as ECM systems) should use PID values instead of SSN values to identify members. If this is not possible during a phase of implementation where the connected system requires customization, a plan to move toward PID use should be proposed. In no case, should SSNs or other personal information be transmitted outside the LAN without full encryption. The solution must support a variety of open, industry-accepted crypto-graphical standards such as Advanced Encryption Standard, Data Encryption Standard or triple data encryption standard (Triple DES). Basic encryption standards should cover:

- All passwords contained within the Pension Administration System
- Any data that could threaten the reliability or security of the system, such as security tables
- Diffusion of sensitive information via unsecured connections
- Any permission standards (user IDs to roles, roles to permissions, assignment of workflow roles) whose access is not already limited
- The encryption, at the database, table and/or field level, of member identifying information, health information, disability information (or all other fields requested by SCERS.)

Any applications served over the web to users outside of the SCERS network will be served via encrypted https and protected with appropriate credentials. This applies to Member Portal users and/or SCERS staff accessing the application from an outside facility.

The maintenance and usability of any standards supporting SCERS' security architecture should be easy to use, concise, unambiguous and comprehensive.

6 Operational Requirements

The following sections set forth the operational requirements of the new solution.

6.1 System Sizing and Performance Requirements

The proposed solution must be constructed, modified, and sized to accommodate the functionality and reporting requirements, on-line and as-needed. Solutions that require overnight, weekend or otherwise off-hour processing are not desired. Some exceptions may occur but otherwise SCERS requires that the system can handle full functionality without concurrent processing impeding any aspect of the enterprise's operations or day-to-day

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

business. With regards to batch processing, it should be limited to employer payroll imports, distribution payroll exports, and phased tasks like annual member statements, actuarial extracts, etc. Bidders are to disclose the full breadth of batch processes in their response accompanied by reasons for these batch jobs and for each job, the estimated impact on normal SCERS operations.

The construction and modification of the proposed solution must meet the following performance standards and continue to meet them for no less than three (3) years post warranty period. If any of the following criteria are not being met within these standards, the vendor will be required to deliver any additional upgrades, hardware or software add-ons within 30 days to bring the solution back up to compliance.

- SCERS expects to have approximately 50 end users for system administration access. These end users will not use the system equally, but approximately 90% will be using them concurrently. Additionally, for those vendors that price licenses based on named user licenses, it should be noted that these users are distinct users. SCERS also expects 5-10 of its users will also work on non-production such as (development, test, quality assurance, etc.) instances.
- The vendor must provide a system that is sufficiently responsive to end users, such that the slowness of the system does not impede the users of the system. Sufficient speed and responsiveness will be determined by SCERS during user acceptance testing.
- SCERS requests reporting and operational database architecture supportive of its need to avoid creating processing issues and that is aligned with current industry best practices. SCERS has the need for real-time data to address operational issues.
- Batch processing and reporting should never negatively influence day-to-day operations.

6.2 Scalability Requirements

In the discussion of hardware and software requirements, the vendor should be careful to consider not only future load but also potential functionality not presently considered by SCERS. The system's sizing and configuration, and the duration for which the system must be able to support growth with no performance impact is, respectively, 5% per annum and three (3) years post warranty end at no added financial burden to SCERS.

6.3 Availability

SCERS is open to strategies for ensuring uptime. Full application failover to ensure "24/7 always on" availability is not a high priority. SCERS' current use hours are approximately 6:00 am – 8:00 pm Monday through Friday but may expand in the future to include additional hours and telecommuting needs.

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

The bidder's solution must provide system availability of 99.9 percent (all but approximately 10 hours per year) for all major operational components. Note that the term 'available' does not mean 'always on'. Rather, it refers to the time that the system is expected to be fully functional, particularly during the hours of 6:00 am – 8:00 pm Monday through Friday, excluding downtime for scheduled maintenance. Common definitions of the 'nines' availability levels are shown below.

- 99.9% means approximately 10 minutes of unavailability per week
- 99.95% means approximately 5 minutes of unavailability per week
- 99.99% means approximately 1 minute of unavailability per week
- 99.999% means approximately 6 seconds of unavailability per week

6.4 Software Version Control

The control of software versioning is also a requirement. All versions and point releases must feature a date-time stamp accompanied by the respective version/point release number. The vendor should describe how software product versioning will be managed for their solution.

6.5 Redundant Storage

Protecting and securing SCERS' data is paramount. For redundant storage strategies, SCERS is asking the vendors to recommend a storage configuration most appropriate to their solution and SCERS' computing environment. SCERS would prefer multiple off-site storage facilities, preferably in different states or regions. At a minimum, basic RAID5 capability is expected for the system database. SCERS will consider other redundant storage strategies based on vendor recommendation.

6.6 Recovery

The vendor's solution should be able to preserve its environments in a failure situation such that recovery can be accommodated within a reasonable timeframe with no loss of data.

7 Integrated ECM

The ECM portion of the solution must be part of or tightly integrated with the Pension Administration System to take full advantage of workflow and records management functionality. Users must be able to access images and documents associated with a Member from within that Member's record in the Pension Administration System without needing to log into another system. At minimum, the system must be able to integrate with SCERS' FileNet application via an API. The scanning and indexing process must effectively trigger case management and/or workflow to track and manage work processes so that tasks are

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

completed in a timely way in the most efficient manner possible. In addition, SCERS desires the ability to integrate imaging with the Member Portal, so members can view a subset of their records online. SCERS would also like to explore the use of bar codes and other automation.

The ECM system, if proposed separately, must provide the document management and records management feature common to most business-class systems. This includes functionality such as search by text or indices, annotations, redactions, document routing, the ability to assign multiple document statuses, bar coding, disposition schedules, OCR, zone OCR, and other modern methodologies.

The new system must integrate with Imaging to provide a seamless navigation between the two systems for any Member's relevant data and documents. More specifically, the following functionality and integration is desired for the new Pension Administration System:

These requirements are discussed in greater detail in the technical requirements table section.

8 Workflow & Case Management – Built-In Features

SCERS desires a workflow management system built into the overall solution that allows for the configuration of more complex automated workflow processes. SCERS does not want the solution to merely have passive workflow capabilities or to only be able to perform workflow automation on linear processes. SCERS envisions a complete solution, including some process-centric functions, which may not normally be included in a Pension Administration System. While the overall workflow needs might be basic, the workflow will include multiple staff members and hand-offs, the ability to add notes and comments to a specific case, the ability to attach correspondence or other supplemental files to the case, the ability to set reminders and the ability to track and report on cases over time. While there are workflow processes identified among the various processes and requirements identified in the Functional Requirements of the RFP, the vendor must work with SCERS on the details of the expectation around workflow automation for the various processes.

These requirements are discussed in greater detail in the technical requirements table section.

9 Member Portal / Self Service

SCERS desires a Member Self-Service Portal to allow members access to account information through the internet and to perform certain processes. Active members should be allowed read only access to their contribution balances, member statements, etc. and perform some processes from the site that may include changing their user ID and password, initiating contact with SCERS, changing beneficiaries, performing a buyback or benefit estimate, and updating personal email. Retired members might also be allowed access and/or change demographic information, beneficiary information, 1099R information, payment information, and direct deposit routing information. SCERS expects the new system to include a Member

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

Portal that allows SCERS some control over what information and processes are available through the portal. The solution should also offer web use analytical tools and administrative tools. These requirements, as well as the Member Portal's functional requirements, are described in the respective tables below.

10 Standards

The following sections define standards to which the project will be held.

10.1 User Interface Standards

SCERS prefers that the Pension Administration System solution utilizes a complete web browser-based user interface or other current industry best practice.

The vendor's solution will employ screen designs consistent with currently accepted standards for computer system usability and accessibility, meeting Section 508 requirements at a minimum. Section 508 pertains to the Federal Legislation related to the Rehabilitation Act. Section 508 requires Federal electronic and information technology to be accessible to people with disabilities, including employees and members of the public.

The overall solution's appearance will conform to current design standards as much as possible. The new system will utilize current and standardized industry language but allow customizable screen and report field labels so that SCERS can use its own terminologies where needed.

The solution will allow for the easy edits of date fields, both by a "pop-up" date selection dialog box and by editing the date field directly in an easy and intuitive manner.

The solution will allow for an unambiguous selection of values that are completely visible in the list. Drop-down selection lists must have a logical ordering; for example, dates must be listed in "date" order and text values must be listed in alpha numeric order, not order of entry, where applicable, or most common entries can appear first. Also, all values in non-administrative control drop-down fields must be completely editable.

The screen designs should be resolution independent or provide a scalable interface in accordance with current technological standards. Some users prefer the dense information a high-resolution screen offers. Other users prefer less resolution with larger fonts.

There is no requirement to support special keyboards of any type now (data entry keyboards, etc.). There is no requirement to support input from alternate input devices for visually or physically impaired users now.

Some SCERS staff computers are equipped with dual monitors. The solution will not preclude the user from configuring his/her desktop as either single or dual monitor. If the user chooses dual monitor, the solution will allow effective use of the additional screen space.

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

10.2 Configuration Standards

SCERS desires a variety of user-maintained, effective date-driven values used in rules with configurable parameters. Such values and rules might include COLA percentage, tax rates, benefit variables, or interest rates that require periodic updates. The proposed solution should include tools that are intuitive and easy to use for non-technical administrators to modify these values and rules, where applicable, and as appropriate for the hosting option selected. Such rules cannot be dependent on hard-coded values.

10.3 Universal Update

As with normalization of a database, the system should provide a single point of modification for each data element. In other words, all demographic information for members, data related to beneficiaries, plans, benefits, employers and all data elements in the system should have a single point of data access for modification. There should be no area of the system in which data that has already been provided is not re-used.

10.4 Database

SCERS does not have a specific preference for a database product. However, SCERS will give preference to a solution that utilizes Microsoft SQL and/or Oracle. Non-enterprise level databases will not be considered. Vendors should include cost information for any database licenses when bidding.

11 Implementation Requirements

SCERS will rely on the vendor to determine the most time and cost efficient method of implementing the system into SCERS' environment. However, SCERS is concerned that implementation standards are met. The subsections below discuss standards for requirements gathering, testing, training, and project documentation. Further information regarding implementation planning and requests will be found in the RFP.

11.1 Requirements Confirmation Standards

SCERS has undertaken a significant effort to document the relevant requirements and business processes. It is expected that the vendor will need to confirm these requirements in a series of work sessions as an initial phase of the project. The vendor's team shall have the necessary experience to understand the requirements without elaborate explanation. SCERS has limited staff resources to devote to the project, and as such does not have time to educate the vendor's staff in defined benefit plan business rules. The vendor's business analyst(s) are expected to be familiar with public retirement systems in general.

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

The requirements confirmation sessions must be scheduled in a manner that does not impact SCERS' operations. A maximum of eighteen hours of meetings may be scheduled with a single staff member each week, and no more than six hours in any given day, unless SCERS approves this request in advance.

11.2 Testing Standards

SCERS requires that the vendor utilize a rigorous testing methodology throughout the course of the project. Each module that is delivered to SCERS must have been tested on converted data prior to being certified for release by the vendor's test team. SCERS may at its discretion request written proof of certification for any release.

For software that is delivered for acceptance testing, SCERS will require a soft copy summary of the testing performed along with the certification. The summary should list all the tests performed, along with the results and any errors discovered.

The acceptance testing process is critical for the success of the project. The SCERS project team will determine the time and effort required for acceptance testing, not the vendor. Should issues arise, SCERS may extend the acceptance testing period at its own discretion. No change orders will be granted based on delays during this period; in a word, SCERS will not be "rushed" through the acceptance testing process. Staff limitations may impact the testing process, as well as other external factors.

11.3 Training and Training Manual Standards

The vendor will need to train SCERS staff at four different levels:

- Regular users
- Power users
- Business Administrator
- Technical Administrator

SCERS would like to explore options to the written training manual, at minimum for end-user training. For example, SCERS is interested in exploring on-line or web-based training. The desire is to create training materials that can be reused and/or used for self-guided training outside of a classroom setting.

SCERS requires that the vendor conduct classroom-style training in preparation for the initial implementation. This cannot be train-the-trainer; SCERS requires the vendor perform this training.

The business administrator's manual (online or paper) must contain all the information required for a business or systems analyst to maintain the configuration of the system, including instructions on how to perform common processes such as (but not limited to):

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

- Create and update new benefit plans
- Update contribution rates
- Add bargaining units
- Update interest rates
- Update health care premium rates
- Change COLA rate
- Update tax tables for Federal and State

The technical administrator's manual must contain a full database schema, including all field formats, definitions, keys, indices, foreign key relationships, and other industry standard information. Additionally, the manual must contain all recommended system maintenance schedules and procedures for them. The purpose of this manual is to allow a systems administrator and/or database administrator to properly maintain the system from a technical standpoint.

11.4 Project Documentation

The selected vendor will deliver all project documentation to SCERS in a standard format using professional standards. Documents must be properly formatted, versioned, named, and organized. SCERS will not dictate the format or frequency of project documentation, but the vendor shall ensure the following standards are met:

- All business requirements must be documented
- All issues and enhancements must be logged and tracked, along with a planned completion date
- The technical design of the system must be completely documented
- All software releases must be documented (i.e., release notes)
- All change orders must be documented
- The vendor must submit written project reports on a regular basis
- All project expenditures must be tracked

SCERS must have a minimum of ten (10) full business days to review all documentation over 10 pages and a minimum of five (5) full business days to review all documents under 6 pages that requires a sign-off. SCERS will be granted extensions if the vendor submits documents that are particularly lengthy.

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

12 Requirements

12.1 Priority Levels

The tables in the following sections reference different priority levels. The table below describes SCERS' definitions of these priorities.

Priority	Definition	Comments
Priority 1	Critical	SCERS must have this requirement; therefore, SCERS is not asking for detailed pricing that may be attributed to the item, but is requesting the vendor's all-inclusive pricing to include compliance with the requirement. The solution must meet the requirement and SCERS' business process without customization.
Priority 2	Required	SCERS must have this requirement; therefore, SCERS is not asking for detailed pricing that may be attributed to the item, but is requesting the vendor's all-inclusive pricing to include compliance with the requirement. The solution must satisfy the requirement without customization. SCERS will adjust its own business process to meet the solution.
Priority 3	Important	SCERS would like this requirement fulfilled but recognizes that it may or may not be fulfilled without some additional work from the software vendor. Therefore, SCERS would like further information regarding any additional costs from the software vendor prior to committing to it.
Priority 4	Nice to Have	These items are desired features, if available without customization.

Priority 1 and 2 Specifications

The vendor is required to include in their fixed-price bid all functionality identified as Priority 1 and Priority 2 which are deemed critical to SCERS.

Priority 3 and 4 Specifications

SCERS understands that an optimal balance must be found between configuration of a base product, and customization to meet requirements specific to SCERS. It is therefore important to discern where this balance lies for each of the solutions that it takes under consideration.

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

For answers that require detailed explanation, the responder must include the requirement reference ID. The respondents are encouraged to explain in detail, how their system's flexibility will accommodate change.

Technical Descriptions and Requirements

The section that follows contains detailed technical requirements. Each individual requirement is identified by a number. There is nothing to be implied from the requirement identification numbers other than simple identification. Please do not alter the requirement id numbers.

12.2 Application Requirements

APPLICATION REQUIREMENTS			
Req ID	Sub-Process	Requirement Details	Priority
25.1	Application Architecture	<p>The system will have an application architecture designed along logical application boundaries that mimic the business processes they support.</p> <p>The solution must enable:</p> <ul style="list-style-type: none"> • Integration with existing software applications and software tools • Ability to adapt to changes in legislation • Reuse of existing software applications and software tools • The ability to deploy new modules and/or additional or enhanced functionality • Parameter-based and effective-date-driven configuration of SCERS' business rules • Scheduling of jobs, reports and generation of various export files 	1
25.2	Application Architecture	The system will provide that any required batch jobs must provide for the ability to be scheduled and run to completion without any user intervention.	2
25.3	Application Architecture	<p>The system will satisfy the following Application Layer Architecture Requirements:</p> <ul style="list-style-type: none"> • The system architecture will be web-based (utilize a thin-client instead of being client-server based) • The system will be W3C compatible • The system will allow for ad hoc creation of reports by non-technical staff – e.g. extracting only subset of 	1

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

APPLICATION REQUIREMENTS			
Req ID	Sub-Process	Requirement Details	Priority
		<p>data, extracting data from the PAS that might not be included in an existing report, etc.</p> <ul style="list-style-type: none"> The system will ensure that SSL certificates and data encryption is applied for all external components 	
25.4	Application Architecture	<p>The system will include, but not be limited to, the following batch files that are run on regular intervals at SCERS:</p> <p>Actuarial extracts: These are run on a yearly basis and are a flat fixed field file that is provided to the actuary both for all active and inactive members as well as for all payees. Layouts for this file might change, please refer to the Actuarial Extract requirements for more detailed information. For the actuarial extract, the system must have the ability to:</p> <ul style="list-style-type: none"> Provide actuary the access and data from the Partner Portal Store data in a table instead of flat file Produce trial runs of the actuarial data, if stored in the table it must have status flag of temp or final Provide the final, reviewed, and approved actuarial data in the Partner Portal allowing the actuary to get the information in the Partner Portal Store information from the actuary, the data could be used for statistics or projections <p>Information for Annual Report: This includes member demographics, contribution amounts both from employee and employer side, statistical data, etc.</p> <p>Member Statements: Member Statements will be available online and real-time through the Member Portal. Semi-annual statements will be available online for 10 years.</p> <p>Tax Statements: Tax statements (e.g. 1099R, 1042S, DE9C) are printed yearly every January. Tax statement generation functionality should fully reside within the new system and no external tool must be needed for this. Please also review the detailed 1099R requirements as part of year-end processing.</p> <p>COLA: the system must provide reporting and queries to validate that processes are being run correctly.</p> <p>GL Exports, Death Verification, etc. run on a regular basis</p>	2

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

APPLICATION REQUIREMENTS			
Req ID	Sub-Process	Requirement Details	Priority
25.5	Application Architecture	The system will synchronize data in real-time and be up-to-date in the new system.	2
25.6	Application Architecture	The system will contain a batch system and reports generation mechanism that does not slow down processing – SCERS must be able to run some batch processes during normal business operations without affecting operations.	2
25.7	Application Architecture	The system will provide real-time integration (APIs), such as web services, to facilitate the integration with other SCERS systems (for example, G/L application).	2
25.8	Application Architecture	The system will ensure that all member summary information (esp. service credit totals and FAS) sync with the detail records real-time.	3
25.9	Application Software and Documentation	<p><i>Requirement applicable only if DTech hosts the new PAS.</i></p> <p>The system will adhere to the following Code Base and System Maintenance Requirements:</p> <p>Full Technical Documentation (including information on APIs and common functions) and Customized End-User Documentation will be included. Vendors are strongly encouraged to provide electronic solutions for this, including wikis / web-based materials.</p> <p>Any customizations specifically developed for SCERS will be thoroughly documented and handed over to SCERS for maintenance and support purposes</p> <p>All the in-house developed operational reports will be made available in the new system. Therefore, the vendor must provide proper documentation not limited to tables and views, triggers, and logic used in the report. The ER diagram is desired to provide information on how tables and views are linked, and what are the primary and foreign keys used.</p>	1
25.10	Application Software and Documentation	The system will use explicitly defined vocabulary. To ensure common vocabulary, the vendor should explicitly define vocabulary used in their project lifecycle as the usage of words like release, testing, build, dry run, requirements, configuration, etc., is often unique to a vendor's practice.	1
25.11	Application	<i>Requirement applicable only if DTech hosts the new</i>	1

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

APPLICATION REQUIREMENTS			
Req ID	Sub-Process	Requirement Details	Priority
	Software and Documentation	<p>PAS.</p> <p>The system will adhere to the following Documentation standards and requirements:</p> <p>A Data Dictionary shall be required, describing the database, tables and fields. Complete documentation will include Entity Relationship (ER) Diagram, stored procedure listing, views, report documentation, universe design etc.</p> <p>Detailed release notes of new builds including testing that has been done and verification of testing against any possible customizations that were implemented specifically for SCERS should be provided for each build. Release notes shall also be provided if the PAS is vendor-hosted.</p>	
25.12	Application Software and Documentation	The system will provide the ability to modify Help text and sections for each main area.	2
25.13	Availability	The system will provide continuous availability of 99.9 percent for all major operational components. Scheduled or intentional downtimes are excluded from the 99.9 percent requirement. The system will provide continuous availability of 99.9 percent for web portals.	2
25.14	Backup and Recovery	<p><i>If the vendor hosts the application:</i></p> <p>The system will be able to preserve its environments in a failure situation such that recovery can be accommodated within a one-day timeframe with a loss of data of no more than four (4) business hours.</p> <p>Backup and Recovery Requirements:</p> <ul style="list-style-type: none"> • The system must provide for a full back-up daily but SCERS must also be able to schedule backups for different times – i.e. backups must be schedulable • Backups must provide for the ability to be encrypted and compressed • The system must provide backup using the latest technology. • The transactional Log should be turned on for rollbacks. • SCERS must be able to encrypt and securely protect the backup data so that it cannot be accidentally or 	2

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

APPLICATION REQUIREMENTS			
Req ID	Sub-Process	Requirement Details	Priority
		inappropriately accessed by staff, and would also be protected if a copy needs to be sent to the vendor for review.	
25.15	Backup and Recovery	The vendor must plan and execute an annual recovery test to ensure the DR plan is viable (this will take place during the warranty period).	3
25.16	Backup and Recovery	The system will allow IT staff to troubleshoot the system and to determine the process that is slowing down the system and/or affecting performance in cases where the system is slowing down or shows any performance impact.	2
25.17	Configuration	The system will provide the capability for SCERS to specify/configure the security privileges for users and roles, as well as authentication.	1
25.18	Configuration	The system will be configurable to handle plan changes, addition of new plans/sub-plans/tiers, vendor changes, adjustment types, rate changes, rule changes to a specific calculation, etc.	1
25.19	Configuration	The system will provide for parameter-based and effective date driven configuration.	2
25.20	Configuration	The system will adhere to the configuration requirements that are based on the need for a variety of user-maintained, effective-date-driven values used in rules with configurable parameters. The system will include tools that are intuitive and easy to use for administrators to modify these values and rules. Such rules must not be dependent on hard-coded values.	2
25.21	Configuration	The system will maintain timestamp, user ID, process ID and effective dates for all parameters both in the main configuration table as well as in the system log.	1
25.22	Configuration	The system will allow for modification of key rules and variable factors and shall offer this functionality by way of a logical user interface and/or vendor-customized data queries that do not require expert assistance. In short, SCERS will receive scripts, menus, screens and tools to adjust the configuration and parameterization of the system's key values and rules from the vendor.	1
25.23	Configuration	The system will provide Administrator access only at the highest security level within the enterprise.	1

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

APPLICATION REQUIREMENTS			
Req ID	Sub-Process	Requirement Details	Priority
25.24	Configuration	The system will provide that each change to the key parameters must be driven by effective dates and specific ranges of time. Functionality will include the ability to input multiple effective dates, end dates and values for each parameter. These time sensitive variances will be used within automated processes as well. In other words, these date-driven variances will allow a calculation or value to be correct for the date range in which it applies.	2
25.25	Configuration	The system will, in conjunction with the effective-date-driven functionality, also allow for different values at different hierarchies as members will have changes in plan, employer and benefit type. The system will be able to handle hierarchical variance at these various levels (global, plan, sub-plan/tiers, bargaining unit and employer). The system will be able print international address in local format. For example, the placement of postal code is different for many countries.	2
25.26	Configuration	The system will track changes to the key parameters and will provide reporting functionality to view the changes on-demand and as needed.	2
25.27	Configuration	The system will support the top four internet browsers at the time of go-live, minus one major version.	1
25.28	Configuration	The system will maintain historical data that will allow administrators to view previous configuration changes and parameters.	2
25.29	Configuration	The system will have the ability to modify menu descriptions / text. The system will provide the ability to configure and customize screen and report field labels to conform to SCERS terminology. This should not be hard coded and should be configurable.	1
25.30	Data Architecture	The system will be based on a relational database or current industry best practice.	1
25.31	Data Architecture	The system will store audit logs in the Database within tables, not as flat files.	1
25.32	Data Architecture	The system will refresh Test Databases with production data in a manner that does NOT result in overwriting the Production Audit Logs.	1
25.33	Data Architecture	The system will include an audit log that must indicate if a database was restored or refreshed as well.	1

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

APPLICATION REQUIREMENTS

Req ID	Sub-Process	Requirement Details	Priority
25.34	E-Sign	The system will allow for electronic signature verification for SCERS members. Members who do not agree to the electronic signature agreement will not be granted access to the member self-service site.	2
25.35	Imaging Integration	The system will seamlessly integrate with the imaging solution proposed by the vendor (if SCERS selects this option). The system should offer single sign-on to both systems. Otherwise, the system must integrate with the existing FileNet application.	2
25.36	Imaging Integration	The system will provide the ability to pull up Member documents from within the system/Member record.	1
25.37	Imaging Integration	The system will provide the ability to have the fax, scan, or member web submission of a document trigger a workflow in the system.	1
25.38	Imaging Integration	The system will provide the ability to image documents and information from whatever source they initiate. For example, when a faxed document comes in, it should go directly to Imaging, based on parameters, so that it does not have to be printed and then imaged.	1
25.39	Imaging Integration	The system will provide the ability to provide an interface between the Member Portal and Imaging to allow documents submitted by a Member to be validated and then stored within the EDMS.	2
25.40	Imaging Integration	The system will provide the ability to allow certain documents stored in Imaging to be displayed to a member or user of the Member Portal.	4
25.41	Imaging Integration	The system will provide the ability to push system-generated letters or reports into the imaging system for storage.	2
25.42	Imaging Integration	The system will provide the ability to store a permanent record of system-generated communications and documents in the EDMS. When a document is stored in the EDMS, the appropriate index values should also be stored in the Imaging alongside with the document (e.g. document type, Member name, Member ID, etc.).	3
25.43	Integration Architecture	The system will support encryption standards. Data transfer to SCERS must use PGP encryption.	1
25.44	Interfaces and	The system will provide the ability for SCERS to validate	2

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

APPLICATION REQUIREMENTS			
Req ID	Sub-Process	Requirement Details	Priority
	Integration	and review the results of the import or export or all incoming and outgoing interfaces before the final data will be posted or exported.	
25.45	Interfaces and Integration	The system will comply with all NACHA requirements for transactions that are performed electronically (EFTs, ACHs and others).	1
25.46	Interfaces and Integration	The system will be able to integrate with other applications and platforms used at SCERS currently or in the future, including but not limited to: <ul style="list-style-type: none"> • General Ledger • Financial Institutions 	1
25.47	Platform Architecture	<i>Requirement applicable only if DTech hosts the new PAS.</i> The system will meet the following Server OS and Desktop OS requirements. At a minimum the following standards must be supported by the system: <ul style="list-style-type: none"> • Servers: latest stable release of Microsoft Windows, Server Std. (minimum), Linux (Red Hat) • Desktops: latest stable release and supported versions of Microsoft Windows • Must also be able to run in a VMware or MS Virtual PC environment • Must be able to support future releases of the standard Windows operating system 	1
25.48	Scalability	The system will adhere to the following System Scalability Requirements: The system's sizing and configuration, and the duration for which the system must be able to support growth with no performance impact is, respectively, five to ten (5-10 percent per annum and three (3) years post warranty end at no added financial burden to SCERS. The system currently must support: <ul style="list-style-type: none"> • 50 End Users (additional end users may be added by the time the new PAS is implemented) • 12,400 Active Members w/ an estimated annual growth less than one (1) % per year 	2

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

APPLICATION REQUIREMENTS			
Req ID	Sub-Process	Requirement Details	Priority
		<ul style="list-style-type: none"> 3,300 Inactive Vested Members 11,000 Retirees w/ an estimated annual growth of four-six (4-6) % per year 	
25.49	Security	<p>The system will support a variety of open, industry-accepted crypto-graphical standards such as Advanced Encryption Standard, Data Encryption Standard or Triple DES. Basic encryption standards must cover:</p> <ul style="list-style-type: none"> All passwords contained within the Pension Administration System Any data that could threaten the reliability or security of the system, such as security tables No sensitive information will be passed via unsecured connections Any permission standards (user IDs to roles, roles to permissions, assignment of workflow roles) whose access is not already limited The encryption, at the database, table and/or field level, of health information, disability information (or any and all other fields requested by SCERS). Minimum encryption standards for the web portals: American Encryption Standards (AES) or 256-bit Secure Socket Layer 	2
25.50	Security	The vendor will work with SCERS and DTECH to implement a single-sign on solution. This will vary depending on who is hosting the application.	2
25.51	Security	The system will support the creation of users/ids within the system (e.g. for system accounts, test accounts, disaster recovery, etc.)	2
25.52	Security	<p>The system will support the following system based password requirements:</p> <p>Internal Applications:</p> <ul style="list-style-type: none"> Password Length 8 characters' minimum Complexity requirements enabled (must include at least one upper case letter, lower case letter, and number). Special characters are permitted. Maximum password age 180 days (must require user to change their password after a maximum of 180 	2

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

APPLICATION REQUIREMENTS			
Req ID	Sub-Process	Requirement Details	Priority
		<p>days.)</p> <ul style="list-style-type: none"> • Password History 10 passwords remembered (must require user to use a password that is unique from their last 10 passwords.) • Password cannot be identical to the username. • Ability to modify the above parameters based on future policy changes. <p>External Applications (Member and Partner Portal):</p> <ul style="list-style-type: none"> • Password Length 6-12 characters' minimum • Complexity requirements enabled (must include at least one upper case letter, lower case letter, and number). Special characters are permitted. • Password History 10 passwords remembered (must require user to use a password that is unique from their last 10 passwords.) • Password cannot be identical to the username or the date of birth. • Ability to modify the above parameters based on future policy changes. 	
25.53	Security	<p>The system will support the following login requirements:</p> <p>Internal Applications:</p> <ul style="list-style-type: none"> • Users can try to log in five (5) times unsuccessfully before they will be locked out • Users are given a "forgot password" routine (i.e., hints, auto-reset) • Users must then contact System Administrator to unlock • AD integration must be available in the new PAS <p>External Applications (Member and Employer Portal):</p> <ul style="list-style-type: none"> • Users can try to log in five (5) times unsuccessfully before they will be locked out • Self-service Forgot Password routine will email a temporary password (with an expiration) to the end user's work and personal email addresses • Challenge questions will allow end-users to reset password 	2

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

APPLICATION REQUIREMENTS			
Req ID	Sub-Process	Requirement Details	Priority
		<ul style="list-style-type: none"> New system must have email verification / confirmation for registration and password resets / changes Staff members (administrator level) must be able to reset passwords and unlock accounts. 	
25.54	Security and Controls	<p>The system will allow system functionality to be determined by role, such that a user may be limited in their ability to perform certain functions, access certain screens, and view certain member's data (as well as other limitations) based on their role. The system must provide a robust and efficient method of controlling user access.</p> <p>Users who are restricted to only a subset of data shall NOT be able to access this data via any alternate method (e.g. running a query, report or a search) on the front-end / user-interface / integrated reporting solution.</p>	2
25.55	Security and Controls	The system will be fully configured with regards to security, access points and roles in the system in conjunction with SCERS staff before testing of the final solution takes place.	2
25.56	Security and Controls	The system will create Audit Logs that contain system information, process information and user information.	1
25.57	Security and Controls	The system will create Audit Logs that include tracking of errors with timestamps.	1
25.58	Security and Controls	The system will create Audit Logs that include tracking if operators tried to access restricted records. Name searches should be restricted.	1
25.59	Security and Controls	The system will store Audit Logs in structured tables (i.e., not a flat file) and there must be reporting functionality that will allow IT and managers to look at different data points within the audit log.	2
25.60	Security and Controls	The system will provide Audit Log data that is available both at a summary as well as at a detail level.	2
25.61	Security and Controls	The system will provide Audit Logs that are only used for event logging not for determining logic for base product functionality (e.g. looking at audit file to determine if a calculation is a recalculation or the original calculation is not an acceptable solution).	2
25.62	Security and	The system will generate errors with meaningful	2

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

APPLICATION REQUIREMENTS			
Req ID	Sub-Process	Requirement Details	Priority
	Controls	descriptions; i.e., log file entries must have meaningful descriptions and must have explanations of specific error codes.	
25.63	Security and Controls	The system will create log/audit files that indicate what fields were modified, what was the old value, what is the new value and by whom / which process the fields were modified.	2
25.64	Security and Controls	The system will provide for data auditing and reporting – i.e. there must be standard administrative reports that will allow IT staff to review audit logs/log files via a report in a format that's easy to use and read. The system must provide for reports that will allow an administrator to trouble-shoot errors or to trace back an activity within the log entries.	2
25.65	Security and Controls	The system will differentiate between errors, audit logs and activity logs. At the very least entries must be differentiated between one of these three categories.	2
25.66	Security and Controls	The system will provide the ability to block and unblock individual member/person records. This may be needed due to a member request (the member may be a victim of identity theft, for example).	2
25.67	Security and Controls	The system will ensure that the audit table is secured in such a manner that no system user (of any security level) can alter the records	2
25.68	System Sizing	<p>The system will adhere to the following Load Balancing and Performance requirements:</p> <p>Vendors shall ensure that the system can handle loads based on the sizing estimates and external and internal users and processes provided below.</p> <ul style="list-style-type: none"> System must be able to handle full functionality without concurrent processing impeding any aspect of the enterprise's operations or day-to-day business. Estimated volume growth per annum is about 5-10% <p>Minimum user requirements:</p> <ul style="list-style-type: none"> Internal application/SCERS: 45 concurrent users/sessions within SCERS. External Member Portal: estimated at an average of 100 concurrent sessions. 	1

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

APPLICATION REQUIREMENTS			
Req ID	Sub-Process	Requirement Details	Priority
		<ul style="list-style-type: none"> The estimated annual growth for external components is 5-10% per annum. The system must perform in a manner consistent with enterprise-class business applications. To the extent that the system's lack of responsiveness impacts the user experience, the vendor will be responsible for remedying this at no cost to SCERS. <p>If any of the above criteria are not being met within these standards, the vendor will be required to deliver any additional upgrades, hardware or software add-ons within 30 days to bring the solution back up to compliance.</p>	
25.69	System Sizing	The system will provide a response time meeting user expectations for a robust enterprise-level application. SCERS cannot specify an average response time; this is a matter of user perception as judged during UAT. SCERS requires the vendor to provide software that provides sufficient response times such as not to impede end user work and does not represent a significant downgrade from the current system's speed of response.	1
25.70	System Sizing	The system will be able to support an average of 100 concurrent sessions/users at any given time using the Member Portal, and a peak of 700 users during certain periods per year.	1
25.71	Universal Update	The system will provide the capability to have a single point of data access for modification for all demographic information for members, data related to beneficiaries, classifications, benefits, employers and all data elements in the system.	2
25.72	User Interface Standards	The system will allow for a centralized searching capability including (but not limited to) searching by Name, Member ID, SSN, Employer, Member Status, Active/Retired, and other relevant criteria. Any combination of criteria must be selectable and used to perform the search from a single screen. SCERS also requests that the primary search mechanism in the system be based on Member ID, rather than SSN, to minimize use of SSNs as a security measure. SCERS must have the ability to disable search by member name (for security purposes).	2
25.73	User Interface	The system will adhere to the following User Interface	1

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

APPLICATION REQUIREMENTS

Req ID	Sub-Process	Requirement Details	Priority
	Standards	<p>and Browser Standards/Requirements:</p> <p>The application will allow for user centric design and a workflow driven user interface.</p> <p>Dates: The application must allow for the easy edits of date fields, both by a “pop-up” date selection dialog box and by editing the date field directly in an easy and intuitive manner.</p> <p>Drop-down selections: The application must allow for an unambiguous selection of values that are completely visible in the list. Drop-down selection lists must have a logical ordering that makes the selection quick and easy. For example, dates must be listed in “date” order, not “alphabetical” order where applicable. Drop down list order should be user definable.</p> <p>Browser Standards and Versions: Any browser-based component of the solution must be ADA-compliant and browser neutral (i.e., support the most commonly used browsers without preference) in current release and at least one previous version.</p> <p>The system must be W3C compliant.</p>	
25.74	User Interface Standards	The system will not preclude the user from configuring his/her desktop as either single or dual monitor. If the user chooses dual monitor, the solution will allow effective use of the additional screen space.	1
25.75	Application Architecture	<p>The system will provide the capability to direct users to the necessary steps needed to complete a workflow without the need to completely re-do the process in every situation.</p> <p>For example, if a SCERS user is attempting to complete the process for retiring a member and forgets to do a necessary step which causes an error, the system will provide a clear indication as to what the missing step is and will provide a link to complete the missing component without needing to restart the entire process over again.</p>	1

12.3 Member Portal Requirements

MEMBER PORTAL REQUIREMENTS

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

Req ID	Sub-Process	Requirement Detail	Priority
25.76	Configuration	The system will be able to support members utilizing the top four browsers in use in the United States for accessing the Member Portal at the time of go-live. Currently, these are the four: Internet Explorer, Firefox, Chrome, Edge. At go-live, the system will support the current version and the last two major versions of each browser.	1
25.77	Configuration	The system will be able to provide an error message for members who are not using one of the four browsers supported by the Member Portal.	1
25.78	General System Function	The system will include a Member Portal, defined as a web-based self-service application to allow members to (a) view information about their benefits, (b) initiate a defined set of processes and (c) communicate with SCERS staff via a secure messaging system, including uploading/ downloading documents.	1
25.79	General System Function	The system will allow access to the Member Portal via secure Extended Validate SSL certificate sign-on with an online account/password. The system shall allow members to change their own login and passwords, and shall allow them to change the associated personal email address.	1
25.80	General System Function	The system will provide the capability, through the Member Portal, for the Member to change an online account with password using a valid email address as the sign-on value. Upon the creation of an account, Member will receive an email confirmation with a link to confirm valid email address before the Member can sign-on	1
25.81	General System Function	The system will use vocabulary that is Member-friendly, where possible, on the Member Portal. However, vocabulary used on the portal must abide by IRS wording, where applicable.	2
25.82	Integration	The system will provide capability for direct update of Member information through the Member Portal in the future. When such capability is appropriate to SCERS' evolution, updates submitted by the Member Portal user may require internal review prior to being updated in the system.	3
25.83	Integration	The system will not preclude the display of images of payment information on the Member Portal in the future.	2
25.84	Interface standards	The system will provide a Member Portal meeting SCERS' standards for the look and feel of the site. The	1

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

MEMBER PORTAL REQUIREMENTS

Req ID	Sub-Process	Requirement Detail	Priority
		portal is a critical tool for members, as well as a key component of SCERS' 'brand'. The look and feel of this portal are therefore key considerations for the success of the project. The vendor will ensure that the interface design is professional and conveys a positive impression of SCERS to all members and constituents. SCERS encourages the vendor to utilize 3rd party UI consultants and/or a web design firm to ensure these standards will be achieved.	
25.85	Member Payments	The system will provide members with a method of repaying overpaid benefits or paying for health benefits via the Member Portal. The system will allow the member to set up ACH payments through the Member Portal (if implemented by SCERS). The system vendor shall provide information on the Clearinghouse or other third party service required to enable these transactions.	3
25.86	Reporting	The system will provide robust reporting on the usage of the Member Portal. SCERS requires reports on the number of logins, counts of hits v. confirmed transactions by application type, how long members spent on the site and within application type, the different browsers utilized, IP addresses, and other similar metrics.	3
25.87	Security	The system will use passwords to the Member Portal that are compliant with SCERS' Security Policy as well as conform to information security regulations regarding secure passwords.	1
25.88	Security	The system will conform to compliance standards inclusive of Federal Rehabilitation Act Amendment 508, HIPAA, and California House Bill 1386 SB.	1
25.89	Security	The system will authenticate the request for initial online account/password prior to allowing the Member to create an online password to access the Member Portal. If the user does not agree to the terms, entrance will not be allowed. The Member Portal must record the date/time of the agreement. Periodically, SCERS may update the terms and require users upon subsequent entrance to the Member Portal to "re-agree." This "re-agreement" must be recorded separately and be tied to the new language.	1
25.90	Security	The system will employ role-based security schemes to	2

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

MEMBER PORTAL REQUIREMENTS

Req ID	Sub-Process	Requirement Detail	Priority
		control access to information through the Member Portal.	
25.91	Security	The system will lock out Member Portal access to the Member if sign-on fails based on the specified count within a short period (12 hours, for example). The number of failed attempts and the period allotted will be configurable by SCERS.	2
25.92	Security	The system will provide authentication techniques to ensure the Member requesting sign-on credentials is in fact a SCERS Member or authorized person. Authentication techniques can include SSN, a series of security questions, image keys, account numbers, secret word, or combinations of these techniques.	1
25.93	Security	The system will provide electronic signature features that conform to legislation regarding electronic signature.	2
25.94	Workflow	The system will provide the capability for submission of requests for inquires and/or staff contact to create a workflow to alert staff of such requests.	2
25.95	Workflow	The system will allow for the completion and submission of forms that request inquiries into the Member's record and/or staff contact regarding questions or subject matter determined by Member input through decision based architecture within the Member Portal.	2
25.96	Workflow	The system will allow for Members to complete forms/fields online, through the Member Portal, that may result in changes to the Member's retirement account. As such, the system must provide the capability to assign workflows to such actions completed by the Member.	2

12.4 Partner (Employer/Vendor) Portal Requirements

PARTNER (EMPLOYER/VENDOR) PORTAL REQUIREMENTS

Req ID	Sub-Process	Requirement Detail	Priority
25.97	Access	The system will allow SCERS technical administrators to grant access to the Partner Portal. The SCERS administrators will be able to generate an initial login and password for the named user.	3
25.98	Access	The system will provide the administrators with the capability to create a list of partner organizations and	3

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

PARTNER (EMPLOYER/VENDOR) PORTAL REQUIREMENTS

Req ID	Sub-Process	Requirement Detail	Priority
		designate their access to the portal. It is expected most partners will only be able to securely upload and download documents, and will not have access to member data.	
25.99	General System Functionality	The system will include a Partner Portal, defined as a web-based self-service application to allow business partners of SCERS to (a) send, store, and receive communications to and from SCERS, (b) when authorized, have view access to a defined set of SCERS member data (c) communicate with SCERS staff via a secure messaging system, including uploading/downloading documents. This functionality does not currently exist at SCERS.	3
25.100	Interface Standards	The system will provide a Partner Portal that meets SCERS' standards for the look and feel of the site. The portal is a key component of SCERS' 'brand'. The look and feel of this portal is therefore key considerations for the success of the project. The vendor will ensure that the interface design is professional and conveys a positive impression of SCERS to all members and constituents. SCERS encourages the vendor to utilize third party UI consultants and/or a web design firm to ensure these standards will be achieved.	2
25.101	Interface Standards	The system will provide a Partner Portal that meets all the interface standards for the member portal. It is expected that the vendor will adopt the same look and feel and general navigation for the Partner Portal as the Member Portal. It must also maintain the same level of security as the Member Portal.	2

12.5 Mobile Application Requirements

MOBILE APPLICATION REQUIREMENTS

Req ID	Sub-Process	Requirement Detail	Priority
25.102	Access	The system will provide a mobile application that will utilize the same login/password as the Member Portal. The mobile application shall work on an iPhone or Android platform.	4
25.103	Design	The system will provide a mobile application that will	4

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

MOBILE APPLICATION REQUIREMENTS

Req ID	Sub-Process	Requirement Detail	Priority
		have a consistent look and feel to the Member Portal; it must be a professionally designed interface that meets SCERS' standards for usability and generally professional appearance.	
25.104	General Functionality	The system will offer a mobile application that can be used on mobile and tablet devices in recognition of increasing utilization of mobile technology in the future by SCERS' membership. SCERS envisions that this application will represent a subset of the member web portal functionality.	4
25.105	General Functionality	The system will provide a mobile application that will allow active members to do the following, at minimum: determine the status of their retirement application, perform a simple benefit estimate, look up contribution balance, look up beneficiary designation, send a secure message to SCERS.	4
25.106	General Functionality	The system will provide a mobile application that will allow a retired member to do the following: change address, change tax withholding, change direct deposit information, send a message to SCERS.	4
25.107	Security	The system will provide a mobile application that will utilize the industry standard for security protocols that are commonly used with banking industry mobile applications.	4

12.6 Correspondence Requirements

CORRESPONDENCE REQUIREMENTS

Req ID	Sub-Process	Requirement Details	Priority
25.108	Case Management	The system will provide the ability to track and or flag when a member benefit check/electronic funds transfer (EFT) and/or 1099 is returned.	2
25.109	Data Accommodation	The system will provide the ability to format and send correspondence to foreign addresses.	2
25.110	Data Accommodation	The system will provide the capability for systems administrators to remove a personal email address.	2
25.111	Data	The system will provide the capability to store member's	2

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

CORRESPONDENCE REQUIREMENTS

Req ID	Sub-Process	Requirement Details	Priority
	Accommodation	email address for future use and mass mailings via email.	
25.112	Data Accommodation	The system will be able to automatically re-queue emails that are returned. The system will be capable of resending returned emails (current practice is three tries in 15 days). If the email is returned, the system will be able to suspend the personal email address (work email addresses are not deleted). Failed emails must then be queued for paper delivery.	2
25.113	General System Functionality	The system will provide the capability for SCERS to flag, report and / or exclude those members from mass mailings who have opted for paperless communication OR who continue to have mail returned and have had benefit payments temporarily held due to insufficient mailing/home address.	4
25.114	General System Functionality	The system will use abbreviations consistently throughout. (e.g., apartment, space etc.). The system will ensure prefixes and suffixes are consistent, for member names, and the system utilizes address verification services to ensure correct addresses.	2
25.115	General System Functionality	The system will provide the capability to allow changes and updates to system generated form letters / correspondence as part of an event based on appropriate authorization / security.	2
25.116	General System Functionality	The system will provide the capability to allow staff members to create letters / correspondence based on stored templates accessed from the member's record.	2
25.117	General System Functionality	The system will provide the capability to automatically generate letters and send to the printer, email or outgoing mail.	3
25.118	General System Functionality	The system will provide the capability to change or update existing templates without the need for a programming change.	2
25.119	General System Functionality	The system will provide the capability to store templates and form letters.	2

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

CORRESPONDENCE REQUIREMENTS			
Req ID	Sub-Process	Requirement Details	Priority
25.120	General System Functionality	<p>The system will provide the capability to store and modify templates for mass mailing and populate pre-defined form fields with the respective member data from the selected population.</p> <p>For example, Open Enrollment letters should only be sent to retired members. Thus, when sending mass mailing letters, the system will have different constraints and parameters based on categories such as member status, type of retirement plan, type of health plan, retirement date, etc.</p>	2
25.121	Integration	The system will provide the capability to have pre-defined form fields populated automatically with respective member's data (e.g. name, address) when creating letters / correspondence based on stored templates.	2
25.122	Integration	The system will provide the capability to support mail merge features to print labels.	4
25.123	Reporting / Extracts	The system will provide the capability to generate letters / correspondence for a given member or a population of members.	2
25.124	Reporting / Extracts	The system will provide the capability to generate mass mailing letters / correspondence based on specific constraints / parameters that are configurable without the need for programming changes.	4
25.125	Validation	The system will provide the capability to do selective reviews or sampling of mass mailings before the final acceptance.	2
25.126	Workflow	The system will provide the capability to automatically generate letters triggered by a specific event. (e.g. retirement, enrollment, seminar enrollment, etc.	3
25.127	Workflow	The system will provide the capability to track previous correspondence including benefit estimates that has been generated and mailed out to a member. This correspondence must be stored in the EDMS and available in the Member Portal.	2

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

12.7 Reporting Requirements

REPORTING REQUIREMENTS			
Req ID	Sub-Process	Requirement Details	Priority
25.128	General System Functionality	The system will provide a robust reporting engine. SCERS envisions that the system will provide two basic types of reports: pre-developed (canned) reports and an ad hoc reporting tool for end users.	2
25.129	General System Functionality	The system will provide the following types of reports that SCERS has identified and that need to be developed: archival, transactional, and dashboard reports. To assist the vendor in determining the cost of producing these reports, SCERS is setting a contract limit of 150 reports. Reports will be identified and designed during the implementation.	2
25.130	General System Functionality	The system will provide an end-user ad hoc reporting tool. The intent of this tool is to provide a user-friendly system by which a user can create and store a report as needed. SCERS will specify which data fields will be exposed during the design process. It is expected that there may be a series of role-based ad hoc tools, such that managers can run different reports than end users.	2
25.131	General System Functionality	The system will provide that reports be of professional appearance: they must be paginated, with header, footer, report title, brief narrative of the report reason, total counts, User ID, date and time.	2
25.132	General System Functionality	The system will provide the ability to use any and all data fields when generating ad-hoc reports.	2

12.8 CRM & Telephony Requirements

CRM & TELEPHONY REQUIREMENTS			
Req ID	Sub-Process	Requirement Details	Priority
25.133	A-Overview	The system will provide functionality supporting the tracking and management of member contact: this will be defined as CRM (Customer Relationship Management). This functionality must include the ability to log type of calls, the ability to capture notes on a telephone call, the ability to send and receive messages from within the Pension Administration System, and the ability to create and modify member contact screens as appropriate (i.e.,	2

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	
	TECHNICAL REQUIREMENTS	

CRM & TELEPHONY REQUIREMENTS			
Req ID	Sub-Process	Requirement Details	Priority
		custom screens during open enrollment). SCERS is not requiring integration with an ACD (automatic call distributor) or VOIP integration.	
25.134	General System Functionality	The system will store member contact as a 'case', such that other staff members can access notes on the call, can add to it, can search and report on interactions, etc.	1
25.135	General System Functionality	The system will provide a method of sending and receiving messages to members via the portal. These messages must be visible within the CRM, and staff must have the ability to attach messages to a case and add notes on communications.	1
25.136	General System Functionality	The system will contain a CRM module that provides a robust method of tracking all member contacts, including call, email, portal contact, etc.	2
25.137	General System Functionality	The system will provide links for staff to access an internal knowledge base during calls with members.	4
25.138	General System Functionality	The system will provide a method for staff to store and maintain a knowledge base.	3
25.139	General System Functionality	The system will allow SCERS to modify 'pop-up' screens to correspond to the operational calendar (for as-yet undefined events, such as plan changes).	4
25.141	General System Functionality	The system will provide the ability to link a case/contact to a document within the EDMS.	4
25.142	Instant Messaging	The system will provide internal instant messaging to allow staff to contact other staff members while on a call with a member.	4
25.144	Security	The system will incorporate standard financial-services security measures to validate member identity during calls.	1



Attachment 6: Technical Questionnaire

Sacramento County Employees' Retirement System On-premises Environment

1 General Questions

The following characteristics of the Pension Administration System must be fully described:

Please provide an overview of your approach to integration, including information on any open APIs and/or other SOA-based techniques that will enable their solution's integration with the present architecture.

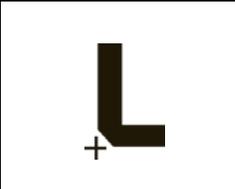
Does the proposed solution employ any type of middleware, that is, any proprietary data layer between users and the RDBMS? If so, please provide the name of the middleware and indicate whether SCERS will have to purchase any licenses for this now or in the foreseeable future.

What database management system is used? To what extent is the database normalized or de-normalized?



Please describe the overall recommended System Architecture. Platform architecture identifies hardware and associated operating systems sustaining SCERS' core business. Such architecture includes the application infrastructure as well as the storage architecture for the data. Please include information on the platform technology proposed for this implementation (e.g. Microsoft Windows server and Windows desktop operating systems), including overall architecture, software, hardware, and virtual requirements.

Please describe the overall security architecture of the solution. How will requirements and policies around safeguarding, accessing and distributing SCERS data be enforced? How is security addressed across all SCERS applications while not impeding business operations? What specific industry standards does your system comply with? If the application is to be hosted by DTech, compliance with County Zone Policies will be required. If a vendor hosted solution is proposed, how will the County to Vendor communication be secured, including the use of SAML for authentication?



Please describe the planned lifespan of the proposed product/solution. How long into the future will the solution continue to provide return on investment to clients in terms of business efficiencies, accommodations to legislative change, functional enhancements, customer support, and other gains. Is there a planned sunset date for the proposed product/solution? If so, describe the potential replacement product/solution.

[Empty response box for lifespan question]

1.1 Software Requirements

Which database platforms are supported by the solution (Oracle, SQL Server, Other – please specify)?

[Empty response box for database platforms question]

Which Database Connectivity Standards are used by the System (e.g. ODBC compliance, JDBC, etc.)

[Empty response box for database connectivity standards question]

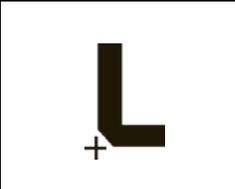
Please indicate the type of database license(s) that will be required to support the solution.

[Empty response box for database license question]



SACRAMENTO COUNTY EMPLOYEE'S RETIREMENT SYSTEM

TECHNICAL REQUIREMENTS QUESTIONNAIRE



The system must support the following groupware technologies. Any NO answers must be detailed below

- | | | |
|---|------------------------------|-----------------------------|
| <ul style="list-style-type: none"> • Extensible Markup Language (XML) in its most recent version | <input type="checkbox"/> YES | <input type="checkbox"/> NO |
| <ul style="list-style-type: none"> • Standard comma delimited (CSV) files | <input type="checkbox"/> YES | <input type="checkbox"/> NO |
| <ul style="list-style-type: none"> • Fixed field-length files | <input type="checkbox"/> YES | <input type="checkbox"/> NO |

Explanation of any "NO" answers:

The solution must provide the following: (any NO answers must be detailed below)

- | | | |
|--|------------------------------|-----------------------------|
| <ul style="list-style-type: none"> • Provide a view into the enterprise's data structure | <input type="checkbox"/> YES | <input type="checkbox"/> NO |
| <ul style="list-style-type: none"> • Include access points for non-transactional data, such as summaries, histories and other external data | <input type="checkbox"/> YES | <input type="checkbox"/> NO |

Explanation of any "NO" answers:

Please describe how software version control is implemented, and how updates and upgrades will be coordinated with SCERS' computing environment. Also, if the proposed solution involves the products of multiple vendors, explain how version compatibility will be maintained among the various products.



Please include a description of the type of authentication employed with the application. If single sign on is desired, how will integration with the County's Active Directory be achieved? How will external users be authenticated? Please note for single sign on, the County will require SAML with DTech providing IDP initiation on a County hosted device.

[Empty response area for authentication details]

Please provide information on overall login and password handling defaults for the solution, including but not limited to:

- Password lengths and general password requirements
- Login handling – e.g. how many unsuccessful attempts will result in a lock out, etc.
- Audit trail and logging information
- Notifications, Reporting and Monitoring

[Empty response area for login and password handling defaults]



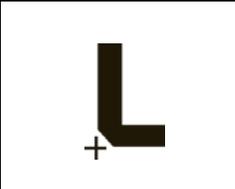
SACRAMENTO COUNTY EMPLOYEE'S RETIREMENT SYSTEM

TECHNICAL REQUIREMENTS QUESTIONNAIRE



Batch processing should be limited to employer data imports and tasks like monthly payroll, annual member statements, COLA, interest posting, etc. Please disclose the full breadth of batch processes below, along with the reasons for these batch jobs. For each job, please also list the estimated impact on normal SCERS operations.

[Empty response area for technical requirements questionnaire]



1.2 Hardware Requirements

Please include the number of units and other commentary as required in the answers to the questions below in order to fully explain your recommendation. Please provide a listing of ALL hardware components and accessories needed (servers, printers, cables, connection equipment, routers, storage devices, etc.) to fully implement the solution:

Please include the number and type of servers needed to support an environment of 45 concurrent user sessions. Include information on recommended architecture setup, i.e. Production, Staging and Development servers both for the application as well as for any databases needed. Please include an explanation to the recommended number of servers.

Please also include the following information with each server:

- 1) Processor Speed
- 2) Number of Processors needed by server
- 3) Memory
- 4) Storage requirements. If virtual servers are acceptable, what are the specifications for these servers?

Empty response box for server requirements.

Please include recommendations on the type of Workstations (desktop PCs) needed to execute the application. Please comment on the minimum capacity of desktop PCs to employ the proposed solution. Include details on:

- 1) Processor Speed
- 2) Number of Processors needed by PC
- 3) Memory
- 4) Disk Cache and Local Disk Space
- 5) Any specific Software Requirements (e.g. OS, word processing Software, etc.)
- 6) Browser requirements
- 7) Any other requirements

Empty response box for workstation requirements.



Please provide an estimate of storage type and size required. Assume that the solution and all of its modifications and databases have been completed and installed to meet each requirement of this RFP. Please use the following user size and utilization rate as a basis for storage recommendations:

- There are approximately 26,654 total Active, Deferred, and Retired Members
- The membership growth rate is approximately 4-6% per year

Please include recommendations and requirements for any other Hardware accessories and equipment as listed below:

SYSTEM AREA	RECOMMENDATIONS:
Backup devices	
Printers and Peripheral Equipment	
Scanners	
UPS	
Other (please specify)	

1.3 System Recoverability

What types of recovery strategies are available and what levels of recovery are they equipped to solve? This discussion should cover:

- Services offered for recovery protection (i.e., 24-hour emergency coverage)
- The response protocol in the wake of malfunctions covering every step from repair to replacement
- Restoration and recovery procedures



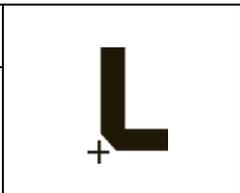
- Tools used to recover the database and application to a known state

1.4 Operational Support

Please list the administrative tools (incl. their functions) that will assist staff in managing everyday operations.

Please list tools suggested by the vendor to periodically test the system's operational performance.

Please describe the technical skills required to support and maintain the system.



1.5 Reporting

Please describe how reporting is implemented in your solution. Is a third-party module used (such as Crystal Reports) or is another reporting solution integrated into the solution? What level of expertise is needed to create a new report or query? Please provide detail regarding the ease-of-use of the reporting module and the skill level needed to use the different features it provides.

Please describe how the solution ensures running reports will not impact the customer experience.

	SACRAMENTO COUNTY EMPLOYEE'S RETIREMENT SYSTEM	
	TECHNICAL REQUIREMENTS QUESTIONNAIRE	

1.6 ECM Integration

Please describe a solution that provides instant and seamless access, from the end-user's perspective, to a member's documents in the ECM from a screen in the Pension Administration System. Please provide detail on the solution's overall integration methodology, including backfile conversion.

1.7 Workflow and Case Management

SCERS desires a simple integrated workflow management system. While the overall workflow needs might be basic, the workflow may include multiple staff members and hand-offs, the ability to trigger workflow initiation and progression based on document issuance or receipt, the ability to add notes and comments to a specific case, the ability to generate and attach correspondence or other supplemental files to the case, the ability to set reminders and the ability to track and report on cases over time.

Please describe the product's out-of-the-box capabilities and functionality in this area below:

	SACRAMENTO COUNTY EMPLOYEE'S RETIREMENT SYSTEM	
	TECHNICAL REQUIREMENTS QUESTIONNAIRE	

2 Vendor-Hosted Option (externally hosted environment by Vendor or 3rd Party)

Bidders must include detailed information on hosting and support of the application in their response to this RFP. This section will provide vendors with the opportunity to provide additional information surrounding a hosted environment since some requirements might change due to the hosted environment. More specifically, SCERS would like to obtain recommendations on the required networking, software and hardware environments, including minimum hardware and software requirements for the client PCs from which the application will be accessed.

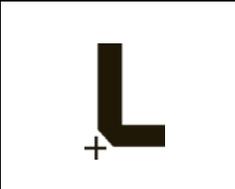
Please outline the security architecture for an externally hosted solution and explain how secure communications between the clients located at SCERS and the system/server that is hosted at the vendor site or at a 3rd party provider will be ensured. If parts of the system will be accessed via a web browser outside of the Sacramento County internal network, the most recent Secure Sockets Layer (SSL) for secure communication between Web servers and Web browsers must be in place and a detailed description of all security and safety measures must be included below.

Will the application be hosted by the vendor or by a 3rd Party? If the application will be hosted by a 3rd Party provider, please provide information on this provider below.



SACRAMENTO COUNTY EMPLOYEE'S RETIREMENT SYSTEM

TECHNICAL REQUIREMENTS QUESTIONNAIRE



What are the minimum networking and bandwidth requirements that SCERS will need to be able to access the system remotely?

Please include recommendations and requirements for any other Software and Hardware components as listed below:

SYSTEM AREA	RECOMMENDATIONS:
Backup devices	
Printers and Peripheral Equipment	
Scanners	
Other (please specify)	



Please specify how data points such as SSN will be encrypted and how security will be applied when viewing member data remotely (either via web browser or VPN connectivity).

Please describe the general support model for the hosted solution, i.e. what type of support will be provided. As part of this, please describe how SCERS would go about requesting changes to the system and what type of resources would be required both from SCERS' side and from the Vendor's side to process a change request.

Please describe how the migration of the vendor-hosted environment to a SCERS-hosted environment can be achieved, i.e. what additional Software and Hardware requirements would SCERS have to consider, are there additional licensing fees that SCERS would incur, what would be the additional fees/costs involved in moving the application to a SCERS-hosted environment?



How is business continuity ensured in case of a disaster? What are the backup strategies and what type of site redundancy is in place? How often are backups of the data and the system? Does the vendor maintain a hot site or warm site?

If the vendor-hosting service could not be provided in the future / had to be terminated in the future, e.g. due to bankruptcy, explain how the vendor would ensure continuity of service.

Please describe how administrative access will be handled in the vendor-hosted environment (i.e. is SCERS required to have its own administrative team or will the vendor or 3rd party vendor fill the administrative role). If an administrative resource is provided, please outline how SCERS will be able to request changes to the existing security roles. Additionally, please describe how SCERS can perform an audit of the existing roles and review existing audit trails.

Please include any pertinent information about the vendor-hosted solution that was not addressed by the questions above.

Attachment 7: Maintenance and Support

1 General Questions

The bidder shall complete the following form. Providing detailed information will allow SCERS to understand how the system will be maintained and supported once implementation is complete.

MAINTENANCE AND SUPPORT QUESTIONS:
Please describe the general structure of your support & maintenance plan along with the costs and options available.
Can standard support be available from 8:00 A.M. to 5:30 P.M. Pacific Time, Monday – Friday?
How is after-hours support provided?
Describe how an issue gets escalated if there is not an immediate solution.
How would SCERS report a new issue or problem?
How are existing issues tracked?
How often are software updates scheduled?
Describe the process by which software updates are released, and how SCERS would go about implementing these software updates.



Sacramento County Employees' Retirement System

RFP for Pension Administration System



What is the procedure for requesting a small change (estimate 1-4 hours coding time)?
What is the procedure for requesting a larger change (estimate 5-20 hours coding time)?
What is the procedure for requesting a large change to the system?
What are the steps SCERS would take to get assistance in defining requirements for a change?
Explain the approval procedures for a newly requested change.
What is the expected turnaround time for a simple bug fix that is easily identified and fixed?
What is the expected turnaround time for small, medium and large change requests?
What is the process and turnaround time for an "emergency" modification, made necessary by a significant and unexpected business rule change?
In what way is the vendor's customer support superior to other competitors?



Sacramento County Employees' Retirement System

RFP for Pension Administration System



Can the vendor guarantee that SCERS will receive primary customer support from a staff member thoroughly trained in SCERS' system? Will this staff member be assigned to the PAS project at least three months prior to go-live? Will the vendor guarantee that this staff member remains SCERS' primary support for at least 18 months after go-live?

What are the hourly charges (if any) for the following types of service (by function)?		
	SCERS Owned Environment	HOSTED Environment
Database Tuning		
Backup/Restore/Recovery		
Diagnostics and Analysis		
Testing		
Operational Support		
Other (please specify)		

What are the hourly charges (if any) for the following types of service (by role)?		
	SCERS Owned Environment	HOSTED Environment
Customer Representative		
Project Manager		
Programmer/Analyst		
Database Administrator		
Network Engineer		
System Administrator		
Other (please specify)		

Attachment 8: Organization & References

1 Organization & References

1.1 Organization

Company Name	
Company Address	
Contact Name	
Title	
Phone	
Fax	
Email	

1.2 Company Information

Please provide answers to the company information questions and identify where different for a specific major vendor or module proposed (PAS, ECM, CRM and data conversion).

Please attach an organization chart.	Attached <input type="checkbox"/>
How long have you been in business?	
Who owns the company?	
Has your company been sued or had other legal action in the last 5 years	
How many employees does the company have associated with pension administration systems?	United States: # employees Northeast Region: # employees Outside the US: # employees
Please list the location of the company's offices and the primary function(s) performed at each.	
How many employees associated with these types of products or systems does the company have in each of the following categories?	Customer support: # employees Installation and training: # employees



Sacramento County Employees' Retirement System

RFP for Pension Administration System



	Product development: # employees
	Sales, marketing: # employees
Average annual staff turnover rate for employees in key staff positions.	
Location of office that will serve as the primary contact during implementation.	
Does the company have any user group support organizations?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	Title of organization:
Identify the closest meeting location that the company has for the Sacramento, CA area.	

1.2.1 Financial Information

What was the Company's annual gross revenue during the last three fiscal years? If 2015 is not yet available, provide an estimate for FY 2015 and include FY 2012.	FY 2013: FY 2014: FY 2015:
What was the percentage of gross revenues invested in research and development?	
What was the average annual company sales volume for pension administration software for the previous three (3) fiscal years?	
What percentage of gross revenues does the sales volume for pension administration software represent?	
Attach a copy of the company's audited financial statements for the last two years. If the financial statements are not provided, the company must at least provide a letter signed by an independent third-party CPA that provides a synopsis of assets, liabilities, and equities.	Attached <input type="checkbox"/>
As an attachment, attach a description of the company's ability to finance additional costs that would be incurred by the company in the event your firm is awarded a Bidder contract resulting from this RFP. State the amount the company would need to borrow, and provide documentation from the company's lender stating its willingness to lend such amount	Attached <input type="checkbox"/>

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	

to the company.	
Provide a Dun & Bradstreet Business Information Report in lieu of financial statements.	Attached <input type="checkbox"/>

1.2.2 Company Experience

As an attachment, list all contracts with similar scope and magnitude held within the previous five years. If you are a national company, you may list all contracts held by the office that will serve the SCERS. Provide the client's name, project name, contact person's name, title, telephone number, email address, the dollar value of the contract, the contact start and completion dates, and a brief description of the items provided by the company. Indicate whether the contract was similar in size, scope, or complexity as required by SCERS in this RFP.

The clients listed by the Bidder may be contacted and used as references, along with other sources that may be provided to SCERS in your response or that are otherwise known to SCERS. Although SCERS anticipates completing reference checks during the final round of the process, SCERS and/or the evaluation team may contact the Vendor's clients or other sources in addition to those specifically provided by the Bidder, at any time to assist SCERS in understanding the product/services.

1.2.3 Current Commitments

As an attachment, list at least five of the highest dollar contracts currently held by the company. If the company has held less than five contracts, list all that have been held. For each contract, state the client's name, a brief description of the items provided by the company, the dollar value of the contract, the approximate share of current income derived from the contract, and the expected contract termination date.

Attach a discussion that addresses how these or other current commitments affect the ability to support SCERS' scope of work. Explain any staffing and schedule overlaps, and how the Bidder proposes to ensure that such commitments or potential overlaps will not affect SCERS's schedule and project delivery.

1.2.4 Terminations

List any contracts that have been terminated before the project completion in last five years with the company. Indicate whether contract was terminated for default (defined as a notice to Bidder to stop performance due to Bidder's non-performance or poor performance) and whether the issue was (a) not litigated or (b) litigated and such litigation determined the Bidder to be in default. Attach a description of the deficiencies in performance and describe whether and how the deficiencies were remedied. SCERS will evaluate the information and may also at its sole discretion reject the Bidder's response if the information indicates that completion of a contract resulting from this RFP may be jeopardized by the responsibility history of this bidder. These clients may be contacted as a resource to SCERS for assessing references and responsibility.



Sacramento County Employees' Retirement System

RFP for Pension Administration System



Have you had any early contract terminations? Yes No

If yes, are termination descriptions attached? Yes No

1.2.5 Prime Contractor

If the proposal includes hardware, software, and services from a third party, the bidding company must act as prime contractor for procurement of all proposed products and services. Prime contractor shall be the sole point of contact for contractual issues including payment of any and all charges resulting from the purchase of the proposed hardware, software, and services. Prime contractor must take responsibility for demonstration, delivery, installation, and acceptance testing of all items proposed. Prime contractor must also provide maintenance, warranty, and ensure third-party warranties are extended to SCERS.

Will the bidder utilize subcontractors? Yes No

If yes, attach a clear description of how the bidding company as prime contractor will direct the work of all subcontractors to ensure the quality and timeliness of work performed by the company and all subcontractors. Attached? Yes No

If you responded yes and are utilizing subcontractors or third-party vendors, then also complete the following chart.

Third-party vendor name	Number of previous partnerships with this vendor	Location of previous partnerships with this vendor	Description of installed and configured service
Project management services			
Application software programs			
Other software			
Training			
Client devices and hardware			
Database administration			
Networking infrastructure			
Security			
Data conversion development			
External system interfaces development			
Functional and business			

analysis		
Testing		
Deployment		
Electronic content management		

1.2.6 Prime – No Subcontracting

For bidders offering a solution provided as a prime vendor with no subcontractors, describe below whether any component within the product offering has been previously owned by another company. For example, if bidder purchased an image scanning system from another company and then integrated it with bidder’s software application, bidder must divulge the image scanning software’s ownership history.

1.3 References

Provide the following information on separate sheets for each of the **three (3) required** reference projects.

The Bidder must have three references of completed implementations of the equivalent Benefits Administration System solution being proposed to SCERS. “Equivalent solution” is defined as either the same version of the application or one major version earlier and for funds with a Defined Benefit (DB) plan and a total membership size of at least 10,000 Participants. These references must be for implementations that are no older than five (5) years. At least two (2) of these references must be from North American pension clients.



Sacramento County Employees' Retirement System

RFP for Pension Administration System



Reference #1			
Client Name:			
Address:			
Client Membership Size:			
Name of Contact:		Title:	
Telephone Number:		E-mail:	
Project Start Date (Use month / year):		Project Completion (Use month / year):	
Modules and Versions Implemented			
Total Cost (including Bidder's project management, implementation, testing, support, software license, hardware, and travel expenses and other costs):			
Approximate number of implementation hours:			
Number of full-time resources assigned:			
Please briefly describe the scope of the project:			



Sacramento County Employees' Retirement System

RFP for Pension Administration System



Reference #2			
Client Name:			
Address:			
Client Membership Size:			
Name of Contact:		Title:	
Telephone Number:		E-mail:	
Project Start Date (Use month / year):		Project Completion (Use month / year):	
Modules and Versions Implemented			
Total Cost (including Bidder's project management, implementation, testing, support, software license, hardware, and travel expenses and other costs):			
Approximate number of implementation hours:			
Number of full-time resources assigned:			
Please briefly describe the scope of the project:			



Sacramento County Employees' Retirement System

RFP for Pension Administration System



Reference #3			
Client Name:			
Address:			
Client Membership Size:			
Name of Contact:		Title:	
Telephone Number:		E-mail:	
Project Start Date (Use month / year):		Project Completion (Use month / year):	
Modules and Versions Implemented			
Total Cost (including Bidder's project management, implementation, testing, support, software license, hardware, and travel expenses and other costs):			
Approximate number of implementation hours:			
Number of full-time resources assigned:			
Please briefly describe the scope of the project:			

Attachment 9: Implementation & Staffing

1 Implementation & Staffing

1.1 Project Approach and Schedule

Given the need to modernize its systems, SCERS seeks the most time efficient method of implementing a quality system into SCERS' environment while meeting SCERS' implementation standards. For context purposes, SCERS desires a timeline between 42-48 months from project initiation (kick-off) to production cutover (system go-live). SCERS encourages Bidders to propose an implementation plan that responsibly delivers a production system in the shortest time period, and outlines the SCERS resources and other assumptions required to achieve this schedule.

The plan should include all phases and tasks for all applications from project inception through the warranty period. The goal is to convey the Bidder's approach and enable SCERS to understand and confirm the scope of the Bidder's responsibilities versus what SCERS needs to do and to show the major tasks and deliverables that are included within the scope of the Bidder's responsibilities.

For example, requirements analysis is an iterative and time-intensive process that requires substantial involvement by SCERS staff. Explain in detail the process to be used for gathering and analyzing requirements, plus documenting and validating the requirements, while allowing SCERS staff to conduct their normal business. User testing and data conversion carry a similar level of involvement for SCERS staff. It is important to SCERS that their expected level of involvement for these tasks is explained at this early stage of the project.

The Bidder should identify common risks to the implementation and discuss risk mitigation strategies for each one, as well as a description of what SCERS needs to do to help mitigate the risk. SCERS will review the implementation plans for specificity, quality, and perceived risk/efficiency balance.

Given the constraints and guidelines listed in the RFP and in the table below, the Bidder should attach a discussion of your proposed project approach for the BAS and ECM solutions, including an integrated detailed project schedule in Microsoft Project (native format and PDF) including all subcontractor and client tasks. Please refer to the RFP Body, Section 11 of this document, Project Scope and Requirements. **Please limit your discussion to forty pages, not including the project schedule.** Please follow the order of the table below. Please include each question and your response.

Item	Questions to Answer
Scope	Based on the requirements of the RFP: <ol style="list-style-type: none"> 1. What is the scope of the implementation? 2. What is considered out of scope for the Bidder but still necessary for the project?



Sacramento County Employees' Retirement System

RFP for Pension Administration System



Item	Questions to Answer
Project Duration, Effort, and Phasing	<p>3. What are the project assumptions?</p> <ol style="list-style-type: none"> How long will the overall project take? What are the main project phases? How long will each phase take? What are the major activities/ tasks in the project? What are the hour estimates for each phase? What are the start and finish dates for each phase of the project? What assumptions does the Bidder need to make to deliver in the proposed timeline? Will there be software releases during the implementation and will we be required to include the releases? Provide a description of how these are planned for and included.
Deliverables and Milestones	<ol style="list-style-type: none"> What are the milestones in the project? What are the project deliverables listed by milestone? Please include a detailed enough description to give SCERS a good expectation of content and include completion criteria.
Approach and Methodology	<ol style="list-style-type: none"> Describe the project approach and implementation methodology (i.e. Agile, hybrid, waterfall) and why you believe this is the best approach for SCERS. Describe the proposed implementation plan for the PAS. What formal methods and disciplines will be employed to effect high-quality releases of functionality? Describe the Bidder's experience integrating the FileNet solution with the proposed Benefits Administration System. <p><i>Note: if these references are the same as the PAS references, indicate as such.</i></p>
Staffing	<ol style="list-style-type: none"> What resources are needed for each phase of the project? Which activities from the Bidder require on-site resources? Will there be subcontractors utilized, and if so, what will be their role? Who is assigned to the project? Provide a table that indicates role, hours per week, etc. How long have they been employed with the Bidder? What is their experience? What are their qualifications? Who is leading the project? Describe the process for replacing assigned Bidder staff, e.g., if a customer asks for a replacement, the assigned staff changes jobs, etc.



Item	Questions to Answer
Testing	<ol style="list-style-type: none"> 1. Describe the Bidder's practice related to providing proof of readiness for testing. 2. What certification does the Bidder provide for each release? 3. How are the test results documented and delivered to SCERS? 4. Based on the requirements of the RFP what formal methods and disciplines will be employed for testing each build (unit, regression, system, QA, performance, stress, etc.)? 5. How are converted data tested? When does this occur? 6. SCERS mandates that the Bidder test utilizing a representative data set, not a selective set of 'clean' data. How will the Bidder comply with this requirement? 7. When will the Bidder test on the full data set for processes such as payroll, COLA, interest, annual statements, etc. (i.e., full population batch processes)? 8. What does the Bidder consider to be a reasonable defect rate for the delivered builds? 9. How does the Bidder manage version control and build releases? How are these documented?
Training	<ol style="list-style-type: none"> 1. Attach a proposal for training to the SCERS on all applications. Identify any associated costs. Assume that key staff end user training will be on-site. 2. What types of training are offered? Include a description of the training approach including the assumptions for number of key staff end users (train-the-trainer versus direct end user staff) and provide details of additional optional training available such as direct end user training, optional additional days of training and/or additional key staff end users. 3. How is training coordinated with incremental deliveries? 4. What user documentation will be provided? 5. To what extent is the training and user manual customized to the solution provided to SCERS? 6. Has the Bidder utilized online training instead of paper-based? Please explain how this was accomplished. 7. How will technical staff be trained?
Change Requests	<ol style="list-style-type: none"> 1. What is the process for SCERS to request increased functionality? How are future enhancements and modifications handled? 2. What is the estimated additional effort, duration, and project impact if SCERS wanted to add a newly merged plan and or collective bargaining agreement with processing exceptions prior to going into



Item	Questions to Answer
	production?
Documentation	<ol style="list-style-type: none"> 1. What type of documentation will be provided during the course of the project? 2. How will the Bidder ensure that SCERS' requirements are properly documented? 3. How will the Bidder ensure that training and user documentation is continually updated as the product evolves in the future?
Transition to Client Support	<ol style="list-style-type: none"> 1. What is the division of support responsibilities between the Bidder and SCERS in the production environment? Bidders proposing both on-site and hosted options should be clear on how this differs with each proposal. 2. How will the Bidder ensure that SCERS' IT resources understand how to maintain the system in production? 3. How has the Bidder managed this transition successfully in the past? 4. How can SCERS contribute to the Bidder so that this transition will be successful?
Risk and Issue Management	<ol style="list-style-type: none"> 1. What risks do you see to the BAS implementation being proposed to SCERS? How has the Bidder mitigated them in the past? 2. Please give one example of a successful implementation: what made the project work well? 3. Please give an example of an implementation that did not go as planned. What happened? What were the lessons learned?

1.2 Training Proposal

Attach a proposal for training for all applications. Identify any associated costs. Assume that key staff training will be on-site. Please answer the training questions in section "Project Approach and Schedule" of this attachment.

1.3 Proposed Staff for Bidder and SCERS

1.3.1 Recommended Staffing for the SCERS

Based on past experience with projects of this size and scope, please describe the level of staffing support required of SCERS during the project phases outlined in your project methodology, including but not limited to the following project phases:

- Project planning and initiation
- Development of the detailed design document
- Project implementation
- Warranty



- Post-warranty

Please be specific in describing the number of positions required, roles, responsibilities, and prerequisite skills of all SCERS staff members by project phase.

1.3.2 Bidder Proposed Staff

1.3.2.1 Project Organization

Provide a diagram that illustrates the Bidder's project organization. Include the roles and names of key project staff and any subcontractors. Identify all internal and external communication paths, including within the Bidder's project staff and between the Bidder and SCERS project staff.

1.3.2.2 Key Staff

Describe below the project roles and responsibilities for each key staff member and subcontractor identified in the project organization diagram.

1.3.2.3 Project Team Matrix

Complete the matrix with the number of years of experience for each proposed team member and key staff expected to play leadership roles on the project. The key staff members could include the following:

- PAS project manager
- Lead business analyst(s)
- Lead PAS technical resource (architect or analyst)

Name	Company	Project role	Years of experience in assigned role:	Years of experience in other relevant roles (role and years)	Years of experience in pension administration industry	Number of pension benefits administration system related implementations

1.3.3 Project Management

Designate the project manager who will have overall, daily responsibility for the project. This person will be responsible for the Bidder's project management and coordination with SCERS.



Provide an organizational chart that shows the project manager's reporting relationships within the Bidder's organization. The Bidder should also describe the type and level of authority vested in the project manager in regards to coordinating the Bidder resources in support of the project.

The Bidder must provide detailed information regarding the designated project manager's experience managing projects of similar size and complexity. List and describe all projects of similar work performed by the project manager below.

1.3.4 Key Staff Experience and References

Bidder shall attach resumes and three (3) references from previous clients for all key staff members. Resumes for each person shall include the following information:

1. Current position with the Bidder
2. Years with the company
3. Project position to be staffed
4. Education and training
5. Work experience, including past positions with the Bidder's company
6. Technical skills and qualifications relevant to the project
7. Specific description of experience in working with the proposed software, including experience in system design, installation, support, training, or management

The references may be contacted along with other sources that may be provided to SCERS in the proposal or that are otherwise known to SCERS. Although SCERS anticipates completing reference checks during the final round of the process, SCERS or the evaluation team may contact the Bidder's clients or other sources in addition to those specifically provided by the Bidder at any time to assist SCERS in understanding the Bidder's products and services

1.3.5 Location of Key Staff or Project Team

SCERS prefers to work with a Bidder that has key staff or project teams located near SCERS. Provide a list of key staff members, their location by city and how often they will be working on site versus off site by phase. Please include your contingency plan should a key staff member need to be replaced. Please note the following is considered the minimum on-site presence for the project:

- PAS project manager: 60 percent on site
- Lead business analyst: on-site for all requirements meetings and build validation; 60 percent otherwise

Provide a list of the locations, by city, of all project team staff including team responsible for the development, customization, configuration, testing and support of all components being

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	

proposed for this RFP. Please specify the team and their location that will be supporting SCERS post-implementation.

If SCERS determines that the Bidder's performance is being negatively impacted by a lack of on-site presence of project personnel, the Bidder must increase their staff's on-site availability at no additional cost.

1.3.6 Key Staff Assignment Priority

In responding to this RFP, Bidder warrants that any key staff members identified by the Bidder and accepted by SCERS shall be dedicated to SCERS' project as that person's primary assignment for the duration of such person's employment by the Bidder and that any change in assigned key staff is subject to prior SCERS approval in writing.



Attachment 10: Assumptions and Exceptions

1 Instructions for Bidders

In the following tables, please list any exceptions you have taken to Functional or Technical requirements as described in Appendix Attachment 3 and Appendix Attachment 5, and any clarifications you wish to make regarding your proposal.

Assumptions, Clarifications and Supporting Information

Please specify any assumptions and clarifications made for the overall response. Where applicable, please reference the section, page, and the specific item or requirement ID that the clarification references. The assumption or clarification should be written in sufficient detail to explain why it is necessary to identify, and its significance. The assumptions and clarifications should be numbered and grouped by RFP section and should be listed in sequential order of the sections to which they reference. The bidder's response materials should reference the clarification number.

1. Bidder to list any assumptions, clarifications and supporting information bidder wishes to make regarding the proposal.

Clarification	RFP Section	Page #	ReqID



Exceptions

Exceptions (i.e., items that the Vendor cannot provide with the PAS) should be listed in the table below, again numbered and categorized by section, and referencing the section, page and specific item to which exception is taken. The exception should state clearly the reason the vendor takes exception to the requirement, and if there is a proposed solution or alternative, it should be stated here. Exceptions to any Priority 1 or 2 requirements must be clearly explained, and SCERS reserves the right to reject any proposal based on exceptions to mandatory Priority 1 and 2 requirements.

2. Bidder to list any exceptions to any of SCERS' Priority 3 or 4 requirements.

Exception	RFP Section	Page #	ReqID	Reason for Exception and Alternative, if any

FIXED PRICE COST SUMMARY

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

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

Totals by Year and Type

Pension Administration System							
	Implementation Period			Go-Live and Warranty Period	Maintenance and Support		Total
	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	
Software							
Hardware							
Implementation Services ¹							
Annual Licensing							
Maintenance & Support ²							
Hosting							
							\$ -

Other Services	
<p>"Other Services" refers to all pricing / costs for other services that the bidder is able to offer that is described within the RFP as desirable (e.g. Disaster Recovery, Business Continuity Services, etc.). SCERS considers these services as separate from the Pension Administration System Software implementation proposal. Please list the type of services that are proposed. Attach a separate price list indicating the type of services that are available. The vendor should note that the types of services must be clearly identified/described and associated cost itemized. Cost associated for staff time must include hourly rate, staff position (titles), minimum charge, etc.</p>	
Item description	Total
Totals	\$ -

¹Includes warranty

²Assume Intermediate level of support (see Maintenance and Support worksheet)

PAS Initial Cost Proposal Worksheet

IMPLEMENTATION

Bidder Instructions: "Implementation" refers to all costs associated with the development and deployment of the system. The bidders should note that the implementation duration, start and end dates, staff numbers, rate, and costs MUST be consistent with and supported by the staffing plan, or the proposal may be rejected. Project management, reporting, and other administrative hours shall be included within the areas detailed below. All activities should be considered a fixed price bid.

Legend

Duration	Measured in months; duration of the task area
From Date	Date task area begins
To Date	Date task area ends
# of Staff	Number of individuals assigned to task area: each must be identified in the staffing plan
Avg. Hourly Rate	Average bill rate for all individuals in task area, including all travel costs
Total Hours	Total hours of service provided for task area
Total Cost	Total cost of task area

TOTAL IMPLEMENTATION COST

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

IMPLEMENTATION COST BREAKDOWN - YEAR 1

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

PAS Initial Cost Proposal Worksheet

IMPLEMENTATION

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

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

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

MAINTENANCE & SUPPORT

Bidder Instructions: "Maintenance and Support" refers to all costs associated with the bidder's support of the system. It does NOT include the annual licensing fees. It does include help desk support, technical support services, troubleshooting, analysis, project management of support resources, etc. The bidder is asked to provide three models of support: BASIC is defined as the minimum support the bidder offers. INTERMEDIATE is defined as providing typical / average support for a client who wants some independence from the bidder but still needs guidance. INTENSIVE support is defined as the bidder's most complete support available. Please include a description of each item provided and add to the lists as appropriate. In the pricing summary, include the cost of the intermediate support.

Legend	
Item	Support role
Description	What is considered in scope for that role (i.e. telephone support to assist users with problem solving)
Bidder Responsible?	Is the bidder responsible for performing this service?
UC Responsible?	Is SCERS responsible for performing this service?
Est. Hrs Per Month	The hours bidders believe this item will require per month.
Pricing Model	How the bidder charges for the service; i.e., in blocks, by the hour, monthly, annual etc
Hourly Rate	Hourly rate charged for the service

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

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

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

RATE SCHEDULE

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

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

HOSTING

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

One-Time SW/HW Purchases (if any)

Item	Description	Qty	Total
Totals			\$ -

Monthly Hosting Fees	\$
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Please include any other recurring charges below, if any.

Item	Description	Qty	Total
Total Other Recurring Fees			\$

	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	

Attachment 12: DTech Infrastructure and Capabilities

1 Virtual Server and Data Capabilities

Sacramento County’s private cloud hosted by DTECH is a distinct and secure cloud-computing environment that specifically supports many Sacramento County departments and Extranet Partners. As with other cloud models, our private cloud provides virtualized server and data storage computing. Because it is a private cloud, it is only accessible to our single organization providing us greater control, security and privacy. Today, Sacramento County’s private cloud consists of more than 1,400 virtual servers and 1.4 petabytes of data storage. The private cloud hosts in excess of 130 systems to include departmental file services, vendor based software and in-house applications.

Sacramento County’s private cloud provides data high availability by maintain multiple data storage computing resources located in different UPS and generator protected facilities. Data storage compression and deduplication maintain data efficiencies minimizing computing costs. Technologies such as snapshots and mirroring, between facilities, provide data protection and efficient system/disaster recovery. Virtual servers are easily maintained and transportable with virtual cloning and application integration. Virtual server flexibility and high performance are maintained through the ability to quickly and efficiently reallocate computing resources.

Sacramento County is committed to maintaining and growing its private cloud infrastructure in support of the many departments and extranet partners.

2 Network and Security Perimeter Capabilities

The Sacramento County private cloud is redundantly connected to the internet via two distinct Internet pipes provided by different Internet providers, connected to two different data centers. This private cloud is protected by a robust security perimeter consisting of multiple zones, firewalls and load balancers. Services that can be provided for connectivity include but are not limited to; Firewall Security, Virtual Private Networks, private circuits, Enterprise Service Bus, Application and Web Site load balancing, ADFS and or Radius Authentication.

3 Internet Data Flow

As show in the “Internet Data Flow” provided in this section, session initiation is critical to County security perimeter models when deploying Internet-based solutions.

Internet-based solutions provide services to County constituents and Business Partners or in some cases may receive services from County Business Partners.



The proposed solution must comply with the County's Internet Data Flow requirements. Please explain in detail how you will meet the requirement.

Alternatives to the referenced data flows, such as utilizing an Enterprise Service Bus (ESB) or F5 Access Policy Manager (APM) can be discussed and will be considered. Note: a generic reverse proxy will not be considered secure or a viable solution.

3.1 Extranet Data Flow

As shown in the "Extranet Data Flow" provided in this section, session initiation is critical to County security perimeter models when deploying Extranet-based solutions.

Extranet-based solutions provide services to or receive services from County Business Partners.

The proposed solution must comply with the County's Extranet Data Flow requirements. Please explain in detail how you will meet the requirement.

Alternatives to the referenced data flows, such as utilizing an Enterprise Service Bus (ESB) or F5 Access Policy Manager (APM) can be discussed and will be considered. Note: a generic reverse proxy will not be considered secure or a viable solution.

3.2 DMZ Architecture

Whether the proposed County Hosted solution is Internet or Extranet based it must meet the tiered or staged architecture supported by the County's DMZs. The DMZs are complemented by the Internet and Extranet Data Flows noted in Requirements 1 and 2.

3.2.1 Internet DMZs

Zone 1, eDMZ, provides front-end hosting Web services and other Internet exposed components

Zone 2, iDMZ provies back-end database and application services and is not exposed to the Internet.

3.2.2 Extranet DMZs

Zone 5, xDMZ, provides a staging area for Web, database or application resources used or leveraged by County Business Partners so that internal county assets are not directly exposed.

The proposed solution must comply with the County's DMZ architecture. Please explain in detail the proposed solution's system architecture and how it will be located in the DMZs of the County's Security Perimeter.

Alternatives to the referenced data flows, such as utilizing an Enterprise Service Bus (ESB) or F5 Access Policy Manager (APM) can be discussed and will be considered. Note: a generic reverse proxy will not be considered secure or a viable solution.



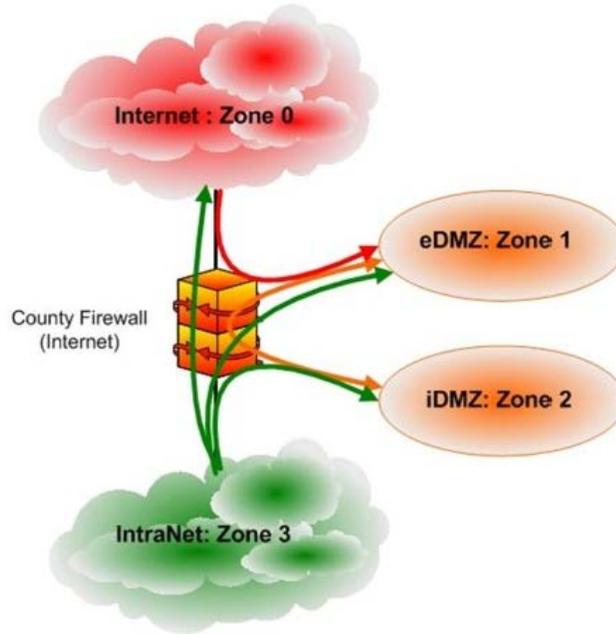
Internet Data Flow Diagram

 <p>This document is the property of the County of Sacramento. Inappropriate or unauthorized use or reproduction is a violation punishable by law.</p>	Logical Zone and Data Flow Model		Date Created:	9/2/2005
	Zone and Data Flow Paths (Internet)		Date Printed:	9/2/2005
			Revision:	002
			Author:	SPT
			Subject:	Zone

Data Flow Summary	
Source	Destination
Zone 0	Zone 1
Zone 0	Zone 2
Zone 0	Zone 3
Zone 1	Zone 0
Zone 1	Zone 2
Zone 1	Zone 3
Zone 2	Zone 0
Zone 2	Zone 1
Zone 2	Zone 3
Zone 3	Zone 0
Zone 3	Zone 1
Zone 3	Zone 2

Permitted direction (source to destination) denotes session initiation. Return traffic is allowed for authorized sessions.

Firewall rules regulate permitted ports





Extranet Data Flow

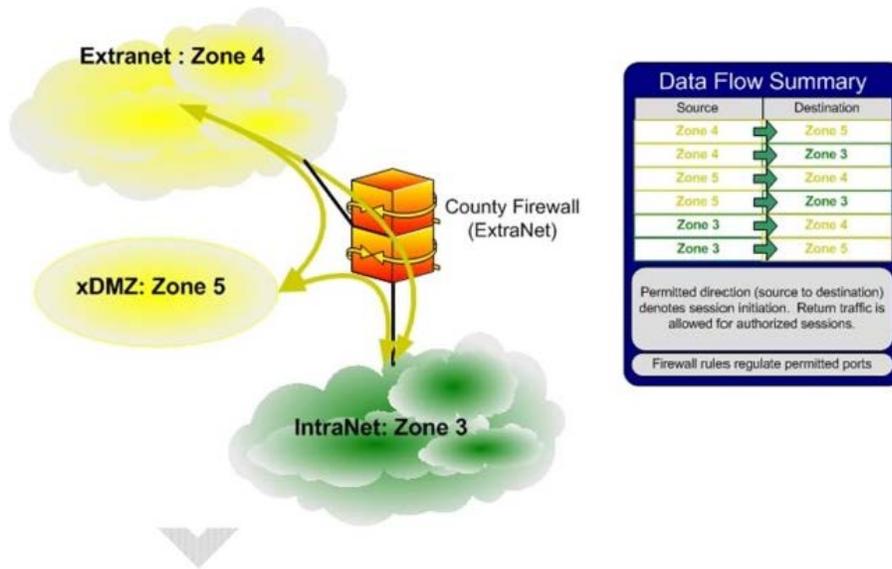


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Logical Zone and Data Flow Model

Zone and Data Flow Paths (Extranet)

Date Created:	9/2/2005
Date Printed:	9/2/2005
Revision:	002
Author:	SPT
Subject:	Zone



	Sacramento County Employees' Retirement System	
	RFP for Pension Administration System	

**Attachment 13:
BIDDER AND VISITOR CONFIDENTIALITY AGREEMENT
GOVERNING THE ACCESS AND USE OF
SCERS' CONFIDENTIAL INFORMATION**

Instructions

This form is to be signed by a contractor or visitor to SCERS who, in order to perform the desired service, must have access to private or confidential information or areas containing private or confidential information. The signed form must be filed along with any contract information for a period of no less than six (6) years from the last day of service provided by the contractor.



**BIDDER AND VISITOR CONFIDENTIALITY AGREEMENT
GOVERNING THE ACCESS AND USE
OF SCERS' CONFIDENTIAL INFORMATION**

I, _____,
NAME

a representative of _____,
COMPANY

have read and understand the Sacramento County Employees' Retirement System's (SCERS) Privacy Policy. I understand that, during my association with SCERS, I may be exposed to or given access to the following kinds of information:

- Personal Information (PI), which is non-public information identifiable to an individual,
- SCERS' proprietary information.

PI and SCERS' proprietary information are collectively referred to as "Confidential Information (CI)." I further understand that all Confidential Information must be protected from improper use or disclosure.

In consideration of my compensation from SCERS permitting me access to the Confidential Information, I hereby warrant and agree that I will not at any time (either during my association with SCERS or after my association ends) use, access or disclose any Confidential Information to any person or entity, internally or externally, except as is required and permitted in the course of my duties and responsibilities with SCERS, as set forth in SCERS' Privacy Policy.

I understand this obligation extends to any Confidential Information that I may have acquired or may acquire during the course of my association with SCERS, whether in oral, written or electronic form and regardless of (1) the manner in which access was obtained, (2) whether the Confidential Information came into my custody, possession, or knowledge, or was developed, compiled, prepared or used by me, before or after the date of this Agreement, and (3) whether the Confidential Information has been published or has become a part of the public domain, or has been put in my possession or knowledge by a third person not acting on behalf of SCERS, or was in my possession or knowledge prior to my commencing work for SCERS.

I understand and acknowledge my responsibility to apply SCERS' policies and procedures during the course of my association. I also understand that unauthorized use or disclosure of Confidential Information may result in disciplinary action, up to and including the termination of my association with SCERS and the imposition of civil penalties and criminal penalties under applicable federal and state law. In the event of a release of CI in breach of this Agreement, I agree to compensate or reimburse SCERS for any and all expenses associated with providing notice to the victims of the released CI as required by California Civil Code §1798.25.



Sacramento County Employees' Retirement System

RFP for Pension Administration System



I understand that this obligation will survive the termination of my association with SCERS, regardless of the reason for such termination, and that my obligations under this Agreement are in addition to, and not exclusive of, any and all of my other obligations and duties to SCERS, whether expressed or implied, in fact or in law.

NAME _____ TITLE _____

COMPANY _____

ADDRESS _____

CITY _____ STATE _____ ZIP _____

SIGNED _____ DATE _____