## Attachment F – Service Agreement Template

**SERVICES AGREEMENT TEMPLATE**

**ORANGE COUNTY EMPLOYEES RETIREMENT SYSTEM**

**AGREEMENT FOR SERVICES**

This Agreement for Services (“Agreement”) is entered into this \_\_\_\_ day of \_\_\_\_\_\_\_\_, 20\_\_ (the “Effective Date”) by and between the Orange County Employees Retirement System, (“OCERS”) and \_\_\_\_\_\_\_\_\_\_\_\_ (“Contractor”). OCERS and Contractor are sometimes individually referred to as “Party” and collectively as “Parties.” The Parties hereby agree as follows:

1. pURPOSE
   1. **Project**. Contractor desires to perform and assume responsibility for the provision of, and OCERS desires to engage Contractor to render, services for a modern Pension Administration Solution and strategic components on the terms and conditions set forth in this Agreement and its attached exhibits.
2. Terms
   1. **Scope of Services**. Contractor promises and agrees to furnish to OCERS all labor, materials, tools, equipment, services, and incidental and customary work necessary to fully and adequately perform all services contemplated by this Agreement (“Services”), as more particularly described in the attached **Exhibit “A”** (“Scope of Services”). All Services shall be subject to, and performed in accordance with, this Agreement, the exhibits attached hereto and incorporated herein by reference, and all applicable local, state, and federal laws, rules, and regulations. Contractor represents and warrants to OCERS that Contractor will perform the Services in a professional and workmanlike manner, in accordance with best industry standards and practices used in well-managed operations performing services similar to the Services. To the extent necessary to facilitate performance of the Services, OCERS may, in its discretion, make certain of its facilities, assets, and resources available on an “as is, where is” basis to Contractor at Contractor’s request. While on OCERS premises, Contractor agrees to comply with OCERS access rules and procedures, including those related to safety, security, and confidentiality.
   2. **Term**. The term of this Agreement will not be less than the time required for final acceptance of the replacement system. This contract may be renewed for one or more 1-year periods.
   3. **Consideration**.
      1. Compensation. Contractor shall receive compensation, including authorized reimbursements, for all Services rendered under this Agreement as set forth in Exhibit “B” (“Fee Schedule”).
      2. Invoices and Payment. Contractor shall submit to OCERS monthly itemized invoices as required by the Fee Schedule. OCERS shall pay all undisputed charges within net thirty (30) days of receiving such invoice.
      3. Extra Work. At any time during the term of this Agreement, OCERS may request that Contractor perform Extra Work. As used herein, “Extra Work” means any work which is determined by OCERS to be necessary for the proper completion of the Services, but which the Parties did not reasonably anticipate would be necessary as of the Effective Date. Contractor shall not perform, nor be compensated for, Extra Work without written authorization by OCERS in the form of a Change Order. Extra Work, if authorized by OCERS in a Change Order, will be compensated at the rates and manner set forth in this Agreement unless otherwise agreed in the Change Order.
   4. **Responsibilities of Contractor**.
      1. Independent Contractor. Contractor’s relationship with OCERS is that of an independent contractor, and nothing in this Agreement is intended to, or should be construed to, create a partnership, agency, joint venture, or employment relationship between OCERS and any of Contractor’s employees or agents. Contractor is not authorized to make any representation, contract, or commitment on behalf of OCERS. Except as OCERS may agree in writing, Contractor shall have no authority, expressed or implied, to act on behalf of OCERS in any capacity whatsoever as an agent of OCERS. The Services shall be performed by Contractor or by Contractor’s employees under Contractor’s supervision. Contractor will determine the means, methods, and details of performing the Services subject to the requirements of this Agreement. Contractor is an independent contractor and not an employee of OCERS. Any additional personnel performing the Services under this Agreement on behalf of Contractor will also not be employees of OCERS and will at all times be under Contractor’s exclusive direction and control.
      2. No Benefits and Payment of Subordinates. Contractor (if Contractor is an individual) and Contractor’s personnel will not be entitled to any of the benefits that OCERS may make available to its employees, including, but not limited to, group health insurance, life insurance, or retirement benefits. Contractor will pay all wages, salaries, and other amounts due its personnel in connection with their performance of Services under this Agreement and as required by law. Contractor shall be responsible for all reports and obligations respecting such additional personnel, including, but not limited to social security taxes, income tax withholding, unemployment insurance, disability insurance, and workers’ compensation insurance. Contractor will bear the sole responsibility and liability for furnishing Workers’ Compensation benefits to all such personnel for injuries arising from or connected with the Services.
      3. Tax. Because Contractor is an independent contractor, OCERS will not withhold or make payments for social security, make unemployment insurance, or disability insurance contributions, or obtain workers’ compensation insurance on behalf of Contractor. Contractor is solely responsible for, and will file, on a timely basis, all tax returns and payments required to be filed with, or made to, any federal, state, or local tax authority with respect to the performance of Services and receipt of fees under this Agreement. Contractor is solely responsible for, and must maintain adequate records of, expenses incurred in the course of performing Services under this Agreement. No part of Contractor’s compensation will be subject to withholding by OCERS for the payment of any social security, federal, state or any other employee payroll taxes.
      4. Licensing. Contractor represents that it, its employees, and subcontractors have all licenses, permits, qualifications, and approvals of whatever nature that are legally required to perform the Services, and that such licenses and approvals shall be maintained throughout the term of this Agreement.
      5. Conformance to Applicable Requirements. All Services performed by Contractor shall be subject to the approval of OCERS.
      6. Substitution of Key Personnel. Contractor has represented to OCERS that certain key personnel, listed in the attached **Exhibit “C”** (“Key Personnel”), will perform and coordinate the Services under this Agreement. Key Personnel will be available to perform Services under the terms and conditions of this Agreement immediately upon commencement of the term of this Agreement and for the duration of the Agreement. If one or more of such Key Personnel becomes unavailable, Contractor shall provide OCERS written notification detailing the circumstances of the unavailability of the Key Personnel no later than five (5) business days after the date of the Key Personnel’s unavailability. Prior to providing a replacement for any Key Personnel, Contractor shall obtain OCERS prior written approval of the replacement. Contractor shall provide OCERS with the option to interview such replacement and provide OCERS with all reasonably requested information regarding such replacement to allow for OCERS to determine if it approves of the replacement. Such replacement and/or OCERS disapproval of a replacement shall not constitute a Force Majeure Event or constitute an OCERS-caused delay. For Key Personnel, Contractor shall: (a) ensure that any replacement candidate proposed by Contractor has qualifications of at least substantial similarity to the qualifications of the individual being replaced and such replacement will not delay the Project unless the cost of such delay shall be borne by Contractor; and (b) use reasonable efforts to ensure that such replacement has served on the Project in another role and had not been previously removed due to OCERS request. Notwithstanding the foregoing, such replacement of the Key Personnel shall not be permitted to serve in more than one Project role. Accordingly, if the replacement is being removed from another role for the Project, Contractor shall have to not only replace the Key Personnel but also the role the replacement is vacating, both being subject to OCERS prior written approval. Contractor shall not make any change in Key Personnel without the prior written approval of OCERS, unless such Key Personnel leaves the Project for a Permitted Reason (defined below). If Contractor makes a change in Key Personnel in violation of the preceding sentence, Contractor shall pay OCERS a fee of $50,000.00 (the "Replacement Fee"). The Replacement Fee will be paid to OCERS no later than seven (7) Business Days after the last Business Day that the Key Personnel in question works on the Project or as a credit on the next invoice issued by Contractor. OCERS reserves the right to deduct the Replacement Fee from whatever payments may be due Contractor or to separately invoice the vendor for the Replacement Fee. As used herein, a "Permitted Reason" will mean (a) the Key Personnel becomes unavailable due to serious illness, legally mandated leave, death, or disability; (b) the Key Personnel is terminated by Contractor for cause (provided, however, that Contractor may not terminate a Key Personnel for the purpose of reassigning the Key Personnel to another project); (c) by mutual agreement of Contractor and OCERS; or (d) the Key Personnel voluntarily leaves the employ of Contractor. In the event that OCERS and Contractor cannot agree as to the substitution of Key Personnel, OCERS will be entitled to terminate this Agreement for cause.
      7. Removal of Key Personnel. Contractor agrees to remove any Key Personnel from performing Services under this Agreement within twenty-four (24) hours or as soon thereafter as is practicable if reasonably requested to do so by the OCERS.
      8. Laws and Regulations. Contractor shall keep itself fully informed of and in compliance with all local, state, and federal laws, rules, and regulations related to or affecting the performance of the Services, including all Cal/OSHA requirements, and shall give all notices required by law. Contractor shall be liable for all violations of such laws and regulations in connection with Services. If Contractor performs any work knowing it to be contrary to such laws, rules, and regulations, Contractor shall be solely responsible for all costs arising therefrom.
      9. Labor Code Provisions.
         1. Prevailing Wages. Contractor is aware of the requirements of California Labor Code Section 1720, et seq., and 1770, et seq., as well as California Code of Regulations, Title 8, Section 16000, et seq. (“Prevailing Wage Laws”), which require the payment of prevailing wage rates and the performance of other requirements on “public works” and “maintenance” projects. If the Services are being performed as part of an applicable “public works” or “maintenance” project, as defined by the Prevailing Wage Laws, and if the total compensation is $1,000 or more, Contractor agrees to fully comply with such Prevailing Wage Laws. Contractor shall comply with all prevailing wage requirements under the California Labor Code and Contractor shall forfeit as penalty to OCERS a sum of not more than $200 for each calendar day, or portion thereof, for each worker paid less than the prevailing rates. This penalty shall be in addition to any shortfall in wages paid. OCERS has obtained the general prevailing rate of wages, as determined by the Director of the Department of Industrial Relations (“DIR”), a copy of which is on file in OCERSs office and shall be made available for viewing to any interested party upon request. Contractor shall make copies of the prevailing rates of per diem wages for each craft, classification, or type of worker needed to execute the Services available to interested parties upon request and shall post copies at Contractor’s principal place of business and at the site where Services are performed.
         2. Registration and Labor Compliance. If the Services are being performed as part of an applicable “public works” or “maintenance” project, then, in addition to the foregoing, pursuant to Labor Code sections 1725.5 and 1771.1, Contractor and all subcontractors must be registered with the DIR. Contractor shall maintain registration for the duration of this Agreement and require the same of any subcontractors. The Services may also be subject to compliance monitoring and enforcement by the DIR. It shall be Contractor’s sole responsibility to comply with all applicable registration and labor compliance requirements, including the submission of payroll records directly to the DIR.
         3. Labor Certification. By its signature hereunder, Contractor certifies that it is aware of the provisions of Section 3700 of the California Labor Code which require every employer to be insured against liability for Workers’ Compensation or to undertake self-insurance in accordance with the provisions of that Code and agrees to comply with such provisions before commencing the performance of the Services.
      10. Inspection, Audit, and Accounting. OCERS and its authorized representative have the right at all times, and up to a period of four (4) years from the date of final payment under this Agreement, to inspect or otherwise evaluate all records and phases of the Services, including all work, data, documents, proceedings, and activities related to the Agreement. Contractor shall also maintain complete and accurate records with respect to all costs and expenses incurred under this Agreement. Contractor shall allow OCERS or its duly authorized representative, during normal business hours, to inspect, examine, audit, and make transcripts or copies of any records created pursuant to this Agreement, and all such records shall be clearly identifiable. Pursuant to California Government Code Section 8546.7, the parties acknowledge that every contract involving the expenditure of public funds in excess of $10,000 shall be subject to audit by the California State Auditor.
      11. Business Continuity Plan. Contractor warrants that it has and will maintain throughout the term of this Agreement a written business continuity plan (“BCP”) to enable it to recover and resume the Services provided by it to OCERS within one (1) Business Day in the event of any disruptive event. Contractor further represents and warrants that it has tested its BCP and will continue to conduct sufficient ongoing verification testing for the recovery and resumption of services provided to OCERS and will update its BCP at least annually. Contractor will notify OCERS within thirty (30) days of any material alterations to its BCP that would impair its ability to recover and resume any interrupted Services it provides to OCERS. Upon request by OCERS, Contractor will provide to OCERS a description of its BCP procedures as they relate to the recovery and resumption of the Services accompanied by a written certification that the BCP has undergone review and testing to account for any changes to such Services. Contractor shall promptly notify OCERS of any actual, threatened, or anticipated event that does or may disrupt or impact the Services provided by Contractor and will cooperate fully with OCERS to minimize any such disruption and promptly restore and recover the Services.
      12. Inducement. Contractor warrants that no gratuities (in the form of entertainment, gifts, or otherwise) were offered or given by Contractor or any agent or representative of Contractor, to any officer or employee of OCERS with a view toward securing this Agreement or securing favorable treatment with respect to any determinations concerning the performance of this Agreement.
      13. No Conflict. Contractor will refrain from any activity, and will not enter into any agreement or make any commitment, that is inconsistent or incompatible with Contractor’s obligations under this Agreement, including Contractor’s ability to perform the Services. Contractor represents and warrants that Contractor is not subject to any contract or duty that would be breached by Contractor’s entering or performing Contractor’s obligations under this Agreement or that is otherwise inconsistent with this Agreement.
      14. Disputes. The Parties agree to make a good faith attempt to resolve any and all controversies, claims, disagreements, or disputes between the Parties arising out of or related to this Agreement ("Dispute"). In the event of any Dispute, either Party may give written notice of the Dispute to the other Party. The Parties shall first use good faith, reasonable, diligent efforts to resolve the Dispute within sixty (60) days of such notice. If the Dispute is not resolved within those 60 days, the matter shall be escalated to senior executives of both Parties, who shall attempt to resolve the dispute within an additional thirty (30) days. Should the Parties not resolve their Dispute within ninety (90) days of notice, they may, upon mutual agreement, submit it to mediation before a mutually agreed-upon mediator. The mediation shall take place in Orange County, California, and each party shall bear its own costs, with mediation fees shared equally. In the event that mediation is not elected by both Parties or that the Dispute is not resolved through mediation, the Parties may pursue their legal rights through any other legally permissible means. Contractor agrees that the existence of a Dispute notwithstanding, it will continue without delay to carry out all of its responsibilities under the Agreement related to non-disputed work; any additional costs incurred by either Party as a result of Contractor’s failure to carry out such responsibilities shall be borne by Contractor, and Contractor shall make no claim against OCERS for such costs.
   5. **Representatives of the Parties**.
      1. OCERS Representative. OCERS hereby designates Will Tsao, Director of Enterprise Project Management Office, to act as its representative for the performance of this Agreement (“OCERS Representative”). Contractor shall not accept direction or orders from any person other than the OCERS Representative.
      2. Contractor’s Representative. Contractor hereby designates **[**name or title**]**, or their designee, to act as its representative for the performance of this Agreement (“Contractor’s Representative”). Contractor’s Representative shall have full authority to represent and act on behalf of Contractor for all purposes under this Agreement. Contractor’s Representative shall supervise and direct performance of the Services, using their best skill and attention, and shall be responsible for all means, methods, techniques, sequences, and procedures and for the satisfactory coordination of all portions of the Services under this Agreement.
   6. **Indemnification**.
      1. Indemnity by Contractor. To the fullest extent permitted by law, Contractor shall indemnify, immediately defend, and hold OCERS, the members of the OCERS Board of Retirement, and OCERS officials, officers, employees, volunteers, and agents (collectively, “OCERS Indemnitees”) free and harmless from and against all Losses (as defined in Section 2.6.4 below) that any OCERS Indemnitee shall suffer, sustain or become subject to (collectively, “Indemnity Claims”) in any manner arising out of, pertaining to, or incident to (i) the occupancy, use, service operations, or performance of the Services, (ii) any negligent act, error or omission, or intentional misconduct by Contractor, its officials, officers, employees, subcontractors, contractors, or agents in connection with the performance of the Services, (iii) any breach or alleged breach of this Agreement by Contractor, or (iv) any allegation that the Software and/or Work Product infringes, misappropriates or otherwise violates any intellectual property right of a third party. Contractor’s duty to indemnify does not extend to the Indemnity Claims caused by OCERS sole negligence or willful misconduct.
      2. Third-Party Claims. Contractor shall immediately defend, with legal counsel reasonably agreed to by OCERS and at Contractor’s own cost, expense, and risk, any Indemnity Claims; excluding, however, such claims arising from OCERS sole negligence or willful misconduct. Contractor shall control the defense or settlement of any such action, except that Contractor will not have the right to settle or compromise the claim without the consent of OCERS. Contractor shall pay and satisfy any judgment, award, or decree that may be rendered against any OCERS Indemnitee as part of any Indemnity Claim(s). Contractor shall also reimburse OCERS for the cost of any settlement paid by any OCERS Indemnitee as part of any Indemnity Claim. Such reimbursement shall include payment for OCERS attorneys’ fees and costs, including expert witness fees.
      3. Civil Code Section 2782.8. Notwithstanding the foregoing, to the extent the Services are subject to Civil Code Section 2782.8, the above indemnity and duty to defend shall be limited, to the extent required by Civil Code Section 2782.8, to claims that arise out of, pertain to, or relate to the negligence, recklessness, or willful misconduct of Contractor.
      4. Definition of Losses. As used in this Agreement, “Losses” mean all damages, dues, penalties, fines, amounts paid in settlement, taxes, costs, obligations, losses, expenses, and fees (including court costs and reasonable attorneys’ and expert witness fees and expenses), including, as the context may require, any of the foregoing that arise out of or in connection with any actions, suits, proceedings, hearings, investigations, charges, complaints, claims, demands, injunctions, judgments, orders, decrees, or rulings.
   7. Infringement Remedy.
      1. In addition to any other remedy that may be available to OCERS, if Software, Work Product, or any component thereof is found to be infringing, or if any Exploitation of any Software or any component thereof is enjoined, threatened to be enjoined, or otherwise the subject of an infringement claim, Contractor shall, with OCERS consent and at Contractor’s sole cost and expense:
         1. procure for OCERS the right to continue to Exploit and Modify the Software or component thereof to the full extent contemplated by this Agreement; or
         2. modify or replace the materials that infringe or that, in Contractor’s reasonable judgment, may infringe (“Infringing Materials”) to make the Software and all of its components non-infringing while providing materially equivalent features and functionality.
   8. **Insurance**.
      1. Time for Compliance. Contractor shall not commence work under this Agreement until it has provided evidence satisfactory to OCERS that it has secured all insurance required under this Section 2.7. In addition, Contractor shall not allow any subcontractor to commence work on any subcontract until Contractor has provided evidence satisfactory to OCERS that the subcontractor has secured all insurance required under this section. Failure to provide and maintain all required insurance shall be grounds for the OCERS to terminate this Agreement for cause.
      2. Minimum Requirements. Contractor shall, at its expense, procure and maintain for the duration of the Agreement insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the Agreement by Contractor, its agents, representatives, employees, or subcontractors. Contractor shall also require all its subcontractors to procure and maintain the same insurance for the duration of the Agreement. Such insurance shall meet the following requirements:
         1. **Commercial General Liability**. Commercial general liability insurance, including bodily injury, personal injury, property damage and productions/completed operations coverage, in the amount not less than two million dollars ($2,000,000) per occurrence and aggregate.
         2. **Automobile Liability**. Business automobile liability insurance insuring all owned, non-owned, and hired automobiles, in the amount not less than one million dollars ($1,000,000) combined single limit per accident for bodily injury and property damage two million dollars ($2,000,000) aggregate.
         3. **Workers’ Compensation and Employer’s Liability Insurance**. Workers’ Compensation insurance as required by the State of California and Employer’s Liability Insurance in an amount not less than one million dollars ($1,000,000) per accident for bodily injury or disease. The insurer shall agree to waive all rights of subrogation against the OCERS Indemnitees for losses paid under the terms of the insurance policy which arise from work performed by Contractor.
         4. **Professional Liability**. Errors and omissions liability insurance appropriate to their profession covering Contractor’s wrongful acts, negligent actions, errors, or omissions in the amount not less than two million dollars ($2,000,000) per claim, three million dollars ($3,000,000) aggregate, and covering the period from the effective date of this Agreement until five (5) years following the termination or expiration of this Agreement.
         5. **Fidelity Insurance**. Comprehensive fidelity insurance policy with employee dishonesty coverage in an amount not less than five million dollars ($5,000,000) per occurrence.
         6. **Cyber Security Insurance**. Cyber security liability insurance covering claims involving privacy violations, information theft, damage to or destruction of electronic information, intentional or unintentional release of private information, alteration of electronic information, extortion and network security, and network and business interruption with limits of not less than two million dollars ($2,000,000) for each occurrence and an annual aggregate of not less than five million dollars ($5,000,000).
         7. **Excess Liability**. The limits of insurance required in this Agreement may be satisfied by a combination of primary and umbrella or excess insurance. Any umbrella or excess coverage shall contain or be endorsed to contain a provision that such coverage shall also apply on a primary and non-contributory basis for the benefit of the OCERS Indemnitees (if agreed to in a written contract or agreement) before any OCERS Indemnitee’s own primary or self-Insurance shall be called upon to protect it as a named insured. The policy shall be endorsed to state that the OCERS Indemnitees shall be covered as additional insured. The coverage shall contain no special limitations on the scope of protection afforded to the OCERS Indemnitees eight million dollars ($8,000,000) per occurrence, eight million dollars ($8,000,000) aggregate.
      3. All Coverages; No Contribution. All insurance which Contractor is obligated to procure and maintain shall include or be endorsed to state that: (1) the OCERS Indemnitees shall be covered as additional insured with respect to work by or on behalf of Contractor, including materials, parts, or equipment furnished in connection with such work; and (2) the insurance coverage shall be primary insurance with respect to the OCERS Indemnitees, or if excess, shall stand in an unbroken chain of coverage excess of Contractor’s scheduled underlying coverage. Any insurance or self-insurance maintained by any OCERS Indemnitee shall be excess of Contractor’s insurance and shall not be called upon to contribute with it in any way.
         1. The insurance policies required by Section 2.8.2 above shall contain or be endorsed to contain the following specific provisions:
            1. The policies shall contain a waiver of transfer rights of recovery (“waiver of subrogation”) against the OCERS Indemnitees for any claims arising out of the work of Contractor.
            2. Policies may provide coverage which contains deductible or self-insured retentions. Such deductible and/or self-insured retentions shall not be applicable with respect to the coverage provided to the OCERS Indemnitees under such policies. Contractor shall be solely responsible for deductible and/or self-insured retention and OCERS, at its sole discretion, may require Contractor to secure the payment of such deductible or self-insured retentions by a surety bond or an irrevocable and unconditional letter of credit. The insurance policies that contain deductibles or self-insured retentions in excess of $25,000 per occurrence shall not be acceptable without the prior approval of OCERS.
            3. Prior to start of work under this Agreement, Contractor shall provide OCERS with certificate(s) of insurance signed by an authorized representative of the insurer(s) evidencing and certifying to the insurance coverage required by Section 2.7.2. Upon request by OCERS, the Contractor shall also promptly provide additional evidence, including declarations, endorsements, or policies, verifying the required insurance coverage.
            4. Each insurance policy required by Section 2.7.2 shall contain a cancellation clause that provides such policy shall not be cancelled or otherwise terminated by the insurer or Contractor or reduced in coverage or in limits except after thirty (30) days’ prior written notice by certified mail, return receipt requested, has been given to OCERS, Attention: Jim Doezie.
            5. Insurance required by Section 2.7.2 shall be placed with insurers licensed by the State of California to transact insurance business of the types required herein. Each insurer shall have a current Best Insurance Guide rating of not less than A: VII unless prior approval is secured from OCERS as to the use of such insurer.
            6. Contractor shall include all subcontractors as insureds under its policies or shall furnish separate certificates and endorsements for each subcontractor. All coverages for subcontractors shall be subject to all the requirements stated herein.
      4. Reporting of Claims. Contractor shall report to OCERS, in addition to Contractor’s insurer, any and all insurance claims submitted by Contractor in connection with the Services under this Agreement.
   9. **Warranty**.
      1. “Standard Warranty Period” means the one (1) year period commencing on the Live Date of the initial release of Software, including all Contractor updates, upgrades, fixes, patches, and other modifications.
      2. “Functional Warranty Period” means the thirty (30) day period commencing on the first production use of any business process embodied in the Software if that first production use occurs after the end of the Standard Warranty Period.
      3. Contractor warrants that, during the Standard Warranty Period and the Functional Warranty Period, as applicable, the Software will function in all material respects and will be in conformity with the Specifications therefor.
   10. **Service Level Agreements**. See Exhibit G.
   11. **Termination of Agreement**.
       1. Termination. OCERS may, by written notice to Contractor, terminate the whole or any part of this Agreement without liability to OCERS if Contractor fails to perform or breaches any of the terms contained herein. In addition to and without restricting or waiving any other legal, contractual, or equitable remedies otherwise available to OCERS, OCERS may terminate the Agreement without cause by giving Contractor ninety (90) days written notice. Upon termination, Contractor shall be compensated only for those Services that have been performed and delivered to OCERS satisfaction, and Contractor shall be entitled to no further compensation.
       2. Survival. The rights and obligations contained in Section 2.4 (Responsibilities of Contractor), Section 2.6 (Indemnification), and Section 2.9 (Ownership of Work Product and Confidentiality) will survive any termination or expiration of this Agreement.
   12. **Ownership of Work Product and Confidentiality**.
       1. Ownership of Work Product; Licensing of Intellectual Property. Contractor hereby irrevocably assigns to OCERS all right, title and interest worldwide in and to any and all discoveries, developments, formulae, information, materials, improvements, designs, artwork, content, original software, software code, software programs, other works of authorship, and any other work product created, conceived, or developed by Contractor (whether alone or jointly with others) for OCERS during or before the term of this Agreement, including all copyrights, patents, trademarks, trade secrets, and other intellectual property rights therein (including all rights to priority and rights to file patent applications and/or registered designs) (“Work Product”), which will become the sole property of OCERS. Contractor will surrender to OCERS all original written materials, including any reports, studies, designs, drawings, specifications, notes, documents, software documentation, computer-based training modules, and electronically or magnetically recorded materials used to develop or create the Work Product. All rights inherent to property ownership, such as but not limited to copyrights, trademarks, and patents, shall be solely vested with OCERS. Contractor retains no rights to use the Work Product and agrees not to challenge the validity of OCERS ownership of, or intellectual property rights in, the Work Product. Contractor agrees to execute, at OCERS request and expense, all documents and other instruments necessary or desirable to confirm such assignment, including without limitation, any copyright assignment or patent assignment provided to OCERS. Contractor hereby irrevocably appoints OCERS as Contractor’s attorney-in-fact for the purpose of executing such documents on Contractor’s behalf, which appointment is coupled with an interest. At OCERS request, Contractor will promptly record any such patent assignment with the United States Patent and Trademark Office. OCERS will reimburse Contractor for any reasonable out-of-pocket expenses actually incurred by Contractor in fulfilling its obligations under this section. Contractor will deliver each item of Work Product specified in **Exhibit “A”** and disclose promptly in writing to OCERS all other Work Product. The work product ownership provisions of any subcontract or task order issued pursuant to this Agreement will be substantially similar to the provisions of this section.
       2. For the duration of this Agreement, Contractor shall maintain an Escrow Agreement with a Third Party escrow agent (the "Escrow Agent") that is mutually agreed to by the Parties. Such Escrow Agreement will designate OCERS as a third party beneficiary and meet all the requirements of this Section. Upon the execution of this Agreement, Contractor shall provide the Escrow Agent with the then current versions of the Deposit Materials. Contractor shall update the Deposit Materials as frequently as a Software release is made available to OCERS by Contractor. The Contractor shall bear the cost of putting the Deposit Materials in escrow, and OCERS shall pay any annual maintenance fees and fees associated with Escrow account. Contractor may replace such Escrow Agent; provided, however that it obtains OCERS prior written approval of the new Escrow Agent, which shall not be unreasonably withheld, delayed, or conditioned by OCERS. Under the Escrow Agreement, OCERS shall be able to obtain a copy of the Deposit Materials if: (i) support is not available under any terms for a period of six (6) consecutive months for the then most current version of the Software, from either the Contractor or any Third Party; (ii) Contractor fails in any material respect to provide post-implementation maintenance and support services in accordance with Contractor’s obligations under this Agreement; or (iii) Contractor files a petition for bankruptcy or insolvency, has an involuntary petition under bankruptcy laws filed against it, commences an action providing for relief under bankruptcy laws, files for the appointment of a receiver, or is adjudicated a bankrupt concern, ceases to do business or dissolves, in which case Contractor agrees it shall provide written notice to escrow agent to release the Deposit Material to OCERS under the terms of the escrow agreement (each, a "Release Event"). Upon a Release Event, Contractor hereby grants to OCERS a nonexclusive, fully paid up, royalty free, perpetual, and non-terminable license to copy, modify, create modified versions of Deposit Materials, reproduce, and otherwise use the Deposit Materials solely as contemplated under this Agreement, for OCERS internal business purposes. As part of such license, OCERS shall be permitted to allow its Third Party designees to do any of the foregoing.
       3. Other Rights. If Contractor has any rights, including without limitation “artist’s rights” or “moral rights,” in the Work Product that cannot be assigned, Contractor hereby unconditionally and irrevocably grants to OCERS an exclusive (even as to Contractor), worldwide, fully paid and royalty-free, irrevocable, perpetual license, with rights to sublicense through multiple tiers of sublicensees, to use, reproduce, distribute, create derivative works of, publicly perform and publicly display the Work Product in any medium or format, whether now known or later developed. In the event that Contractor has any rights in the Work Product that cannot be assigned or licensed, Contractor unconditionally and irrevocably waives the enforcement of such rights, and all claims and causes of action of any kind against OCERS and its affiliates.
       4. License to Preexisting IP. Contractor agrees not to use or incorporate into Work Product any intellectual property developed by any third party or by Contractor other than in the course of performing Services for OCERS (“Preexisting IP”) unless the Preexisting IP has been specifically identified and described in **Exhibit “A”**. In the event Contractor uses or incorporates Preexisting IP into Work Product, Contractor hereby grants to OCERS a non-exclusive, worldwide, fully-paid and royalty-free, irrevocable, perpetual license, with the right to sublicense through multiple tiers of sublicensees, to use, reproduce, distribute, digitally transmit, create derivative works of, publicly perform, and publicly display in any medium or format, whether now known or later developed, such Preexisting IP incorporated or used in Work Product.
       5. Confidential Information. Any financial, statistical, personal, technical, and other data and information relating to a Party’s operations which are made available to the other Party in order to carry out this Agreement shall be reasonably protected by such other Party from unauthorized use, except to the extent that disclosure thereof is required to comply with applicable law, including the California Public Records Act. Confidentiality does not apply to information which is known to a receiving Party from other sources, which is otherwise publicly available, or which is required to be disclosed pursuant to an order or requirements of a regulatory body or a court.
       6. Customer Data. Contractor acknowledges that it may receive confidential information from OCERS or otherwise in connection with this Agreement or the performance of the Services, including personally identifiable information of OCERS customers and members (“Customer Data”). Contractor agrees:
          1. To maintain Customer Data in confidence;
          2. Not to use Customer Data other than in the course of this Agreement;
          3. Not to disclose or release Customer Data except on a need-to-know only basis;
          4. Not to disclose or release Customer Data to any third person without the prior written consent of OCERS, except for authorized employees or agents of Contractor;
          5. To promptly notify OCERS in writing of any unauthorized release of confidential information, including Customer Data;
          6. To take all appropriate action, whether by instruction, agreement or otherwise, to ensure that third persons with access to the information under the direction or control or in any contractual privity with Contractor, do not disclose or use, directly or indirectly, for any purpose other than for performing the Services during or after the term of this Agreement, any confidential information, including Customer Data, without first obtaining the written consent of OCERS; and
          7. Upon request by OCERS and upon the termination or expiration of this Agreement for any reason, Contractor shall promptly return to OCERS all copies, whether in written, electronic, or other form or media, of Customer Data in its possession or in the possession of its employees or agents, or securely dispose of all such copies, and certify in writing to OCERS that such Customer Data has been returned to OCERS or disposed of securely.
       7. Disclosure. Except as may be required by applicable law, neither Party shall make any disclosure of any designated confidential information related to this Agreement without the specific prior written approval from the other of the content to be disclosed and the form in which it is disclosed, except for such disclosures to the Parties’ financing sources, other secured parties, creditors, beneficiaries, partners, members, officers, employees, agents, consultants, attorneys, accountants, and exchange facilitators as may be necessary to permit each Party to perform its obligations hereunder and as required to comply with applicable laws or rules of any exchange upon which a Party’s shares may be traded. Notwithstanding the foregoing, nothing contained herein shall be deemed to restrict or prohibit OCERS from complying with applicable law regarding disclosure of information, including the California Public Records Act and Contractor hereby agrees to release OCERS from any and all Losses related to any such disclosure.
       8. Information Security Program. Contractor has adopted and implemented, and will maintain and enforce during the Term, reasonable and appropriate technical, organizational, administrative, and other security measures designed to prevent the destruction, loss, unauthorized access to, or unauthorized use of OCERS Data or OCERS Confidential Information stored on Contractor’s systems, as well as procedures for business continuity, disaster recovery, and responding to, managing, investigating and remediating Security Incidents involving OCERS Data and OCERS Confidential Information, including the provision of reasonably timely notice thereof, and including but not limited to the policies, technologies, and procedures outlined in Exhibit F (Information Security and Privacy Exhibit) (the “InfoSec Policies”). One time per calendar, an officer of Contractor with responsibility for data security matters will certify to OCERS in writing as to Contractor’s compliance with the Information Security and Privacy Exhibit. Any violation of the Information Security and Privacy Exhibit that is discovered by Contractor or that is brought to Contractor’s attention by OCERS and confirmed by Contractor as a violation, shall be promptly remedied by Contractor. Security or Cybersecurity Breach. In the event of a Security Incident, Contractor shall notify OCERS of such breach as soon as reasonably possible and without undue delay upon discovery of the breach and will make all commercially reasonable efforts to make sure that in no event shall such notification occur later than 24 hours from the time of such discovery. Contractor further agrees to take any and all reasonable immediate actions available to remedy such breach.
       9. Personally Identifiable Information or Protected Health Information (PHI). Without limiting any of its other obligations in this Agreement, if Contractor obtains any Personally Identifiable Information or PHI as a result of performing any of its obligations or exercising any of its rights under this Agreement, Contractor shall not disclose such Personally Identifiable Information or PHI to any Third Party or use such Personally Identifiable Information or PHI for any purpose other than to fulfill its obligations under this Agreement. Contractor shall protect all such Personally Identifiable Information and PHI using commercially reasonable data security and privacy measures. Without limiting the foregoing, Contractor shall comply with all applicable Laws with respect to all Personally Identifiable Information and PHI it obtains as a result of performing any of its obligations or exercising any of its rights under this Agreement.
       10. Publicity. Contractor shall not use OCERS name or insignia, photographs of OCERS property, or any publicity pertaining to the Services in any advertisement, magazine, trade paper, newspaper, television, or radio production, or other similar medium without the prior written consent of OCERS.
       11. Non-Infringement. Contractor represents, warrants, and covenants that it will perform its responsibilities under this Agreement in a manner that does not infringe, or constitute an infringement or misappropriation of, any patent, copyright, trademark, trade secret, or other proprietary rights of any third-party.
       12. Additional Representations, Warranties, and Covenants. Contractor represents, warrants, and covenants to OCERS that:
           1. Contractor will perform all Services in a professional and workmanlike manner in accordance with industry standards and practices for similar services, using personnel with the requisite skill, experience, and qualifications, and shall devote adequate resources to meet its obligations under this Agreement;
           2. Contractor is in compliance with, and will perform all of its obligations under this Agreement in compliance with, all applicable Laws;
           3. OCERS will receive a valid and enforceable license to Exploit and Modify the Software;
           4. Contractor will use commercially reasonable measures to protect against the introduction of Harmful Code into the Software;
           5. All Work Product, including all updates, upgrades, new versions, new releases, enhancements, improvements, and other modifications thereof, but excluding OCERS Materials and modifications, Third-Party Materials, and Open Source Components, is or will be the original creation of Contractor or the Contractor Personnel;
           6. The Software (excluding OCERS Materials): (i) will not infringe, misappropriate, or otherwise violate any Intellectual Property Right or other right of any Third Party; (ii) will comply with all applicable Laws; and (iii) except as expressly set forth in the applicable Statement of Work, will include a valid and enforceable license to use any Third-Party Materials and Open Source Components incorporated therein;
           7. Contractor has all business licenses, permits and approvals required for it to perform all of its obligations under this Agreement in accordance with all applicable Laws;
           8. Contractor has obtained or will obtain from its Representatives confidentiality, work-for-hire, and Intellectual Property Rights assignment agreements to the extent necessary to give OCERS rights consistent with those set forth in this Agreement;
           9. As of the Effective Date of this Agreement and to the best of Contractor’s knowledge and belief after reasonable inquiry, Contractor is not aware of any improper relationship between Contractor, or any of its Representatives, and OCERS, or any of its Representatives, that interferes or interfered with fair competition or is or was a conflict of interest;
           10. All information provided by or on behalf of the Contractor to OCERS in response to the RFP was, at the time it was provided and to Contractor’s knowledge and belief after reasonable inquiry, accurate and complete; and
           11. As of the Effective Date of this Agreement and to the best of Contractor’s knowledge and belief after reasonable inquiry, Contractor’s responses to the RFP were made without fraud, and Contractor did not offer or receive, has never offered or received, and will not offer or receive any kickbacks or inducements from any other Person in connection with Contractor’s responses to the RFP, or otherwise in connection with this Agreement, in violation of applicable Law, and Contractor has not conferred on, or promised to, any public employee having official responsibility for the RFP or this Agreement any payment, loan, subscription, advance, deposit of money, services, or anything else of more than nominal value in violation of applicable Law, unless consideration unrelated to the RFP or this Agreement and of substantially equal or greater value was provided by such employee to Contractor in connection therewith.
   13. **Subcontracting/Subconsulting.**
       1. Prior Approval Required. Contractor shall not subcontract any portion of the work required by this Agreement, except as expressly stated herein, without prior written approval of OCERS. Subcontracts, if any, shall contain a provision making them subject to all provisions stipulated in this Agreement. Contractor will be solely responsible for the payment of all subcontractors and other third parties engaged by or through Contractor to provide, perform, or assist in the provision and delivery of the Services.
       2. Offshore Personnel. To the extent any offshore development entity or personnel (i.e., any entity or personnel located outside of the United States) is utilized to perform any of the services under this Agreement (including any Contractor Affiliate or personnel thereof located outside of the United States), such entity or personnel will be considered a subcontractor and therefore will be subject to the requirements of Section 2.13.1. Contractor hereby certifies that no such offshore development entity or personnel shall have access to Personally Identifiable Information.
   14. **Delays**.
       1. Delays Caused by OCERS. Contractor acknowledges that OCERS may not be able to meet the Project time frames specified in the Scope of Services or that OCERS may determine that it is necessary to delay or modify the timing and sequencing of the implementation. While OCERS is committed to the Project and will use reasonable efforts to provide staff and resources, OCERS shall not be held responsible, viewed as causing, or deemed in default for any delays in the Project, provided OCERS uses its reasonable efforts to accomplish its designated responsibilities and obligations as set forth in the Scope of Services. In addition, OCERS may, at its option, delay the Project or any part thereof. Contractor agrees to adjust the applicable deadlines to take into account such OCERS-caused delays; provided, however, that Contractor shall continue to perform any and all activities not affected by such OCERS-caused delays. Except for when Contractor notifies OCERS in writing of a significant delay caused by OCERS actions that will cause the Live Date to be delayed by sixty (60) days or more and OCERS fails to cure such delay within thirty (30) days of such notice, such readjustment, rescheduling, or modification of the Project for any and all delays shall be at no additional cost to OCERS. For the foregoing exception to apply, such notice shall need to: (i) be provided by Contractor within five (5) business days of the Contractor’s actual or constructive knowledge of the OCERS-caused delay; and (ii) specify (A) the actions or inactions of OCERS that caused the delay; (B) the duration of the delay to date; (C) the specific actions OCERS needs to take to correct such delay; and (D) the impact on the Project should OCERS fail to correct the delay.
       2. Other Delays. When a delay is not caused by OCERS, the Parties agree that it will be extremely impractical and difficult to determine the actual damages that OCERS will sustain in the event the Contractor fails to perform under the Agreement. OCERS may, in its discretion, assess liquidated damages at a daily contract cost per day for each day the Contractor fails to meet a deadline set forth in the Agreement. The amount of the daily contract cost equals the total price payable to Contractor under this Agreement divided by the actual number of days from the Effective date to the expiration of the initial term, <Month Day, Year>. The Parties agree that the liquidated damages specified in this Section are reasonable. OCERS shall notify the Contractor in writing of the assessment of liquidated damages, which may be cumulative. Withholding of payment by OCERS or payment of liquidated damages by the Contractor shall not relieve Contractor from its obligations under the Agreement. The assessment of liquidated damages shall not constitute a waiver or release of any other remedy OCERS may have under the Agreement for Contractor’s breach of the Agreement, including without limitation, OCERS right to terminate the Contract, and OCERS shall be entitled in its discretion to recover actual damages caused by Contractor’s failure to perform its obligations under the Agreement. However, OCERS may reduce such actual damages by the amount of liquidated damages received for the same events that caused the actual damages. Amounts due to OCERS as liquidated damages may either be deducted by OCERS from any payment owed to Contractor, or OCERS may separately invoice Contractor, whereupon Contractor shall promptly make payments on such invoice and in no event later than thirty (30) days from invoice.
   15. **Approvals.** OCERS may be required to provide approvals for various items in order for Contractor to perform the Services, including but not limited to system configurations, user stories, features, and test cases. Such approvals shall not relieve or override Contractor’s obligation to deliver Services and a product that fully comply with the commitments identified in the Request for Proposal (RFP) and as mutually agreed between the Parties. OCERS also requires a final User Acceptance Testing that consists of all the complete end-to-end business processes, as would be executed after Go Live, to sign-off that the commitments as implemented in the delivered product meets OCERS expectations.
   16. Licenses.
       1. License. Contractor hereby grants to OCERS a non-exclusive, worldwide, perpetual, irrevocable, royalty-free, fully-paid, non-assignable (except as set forth herein), non-sublicensable license to Exploit and Modify the Software. OCERS may grant its contractors access to the Software and Documentation, but for only such period, and only to the extent necessary for the contractors to perform services directly for OCERS. OCERS will require that its contractors be bound by the terms of a confidentiality agreement applicable to Contractor’s Confidential Information that is no less protective than the confidentiality provisions of this Agreement.
       2. OCERS Materials and Customer Data. All right, title, and interest in and to the Customer Data and the OCERS Materials shall be owned exclusively by OCERS. OCERS hereby grants to Contractor a limited, royalty-free, non-exclusive, non-sublicensable (except as contemplated in this Agreement), non-assignable right and license to OCERS Materials solely as necessary to incorporate such OCERS Materials into, or otherwise use such OCERS Materials in connection with creating, the Work Product. The term of such license shall commence upon OCERS delivery of the OCERS Materials to Contractor, and shall terminate upon OCERS acceptance or rejection of the last Work Product to which the OCERS Materials relate. OCERS hereby grants Contractor and its subcontractors the limited right to, host, access, display, process, and use the Customer Data solely for purposes of performing Contractor’s obligations under the Agreement. Contractor shall not share any Customer Data with any Third Party, and shall not use Customer Data in any form for purpose of training any Artificial Intelligence, unless agreed to in writing by OCERS. Except as expressly set forth in this Agreement, nothing in the Agreement grants any right, title, or interest in or to (including any license under) any Customer Data. Subject to the foregoing licenses, OCERS reserves all rights in the OCERS Materials and the Customer Data. All OCERS Materials and Customer Data shall be deemed OCERS Confidential Information.
       3. Third-Party Materials.
          1. Except as expressly set forth in this Agreement or the applicable Statement of Work, Contractor shall secure for OCERS, at Contractor’s sole cost and expense, such rights, licenses, consents, and approvals with respect to any Third-Party Materials that are incorporated into the Software as are necessary for OCERS to Exploit and Modify the Software as set forth in Section 2.16.1.
          2. All royalties, license fees, or other consideration payable in respect of the rights, licenses, consents, and approvals are included in the Fees specified in each Statement of Work unless such Statement of Work expressly states otherwise. Any additional amounts shall be the sole responsibility of Contractor.
       4. Approved Open Source Components. Any use of the Open Source Components by OCERS will be governed by, and subject to, the terms and conditions of the applicable Open Source Licenses.

ARTICLE 3  
GENERAL PROVISIONS

* 1. **Notices**. All notices permitted or required under this Agreement shall be given to the respective Parties at the following address, or at such other address as the respective Parties may provide in writing for this purpose:

|  |  |
| --- | --- |
| **OCERS:** | **CONTRACTOR:** |
| **Orange County Employees Retirement System** |  |
| **2223 E. Wellington Avenue** |  |
| **Santa Ana, CA 92701** |  |
| **Attention: Jim Doezie** |  |
| **e-mail:** [**jdoezie@ocers.org**](mailto:jdoezie@ocers.org) |  |

Such notice shall be deemed made when personally delivered, received by email, or received by U.S. Mail, first class postage prepaid and registered or certified, addressed to the Party at its applicable address. Actual notice shall be deemed adequate notice on the date actual notice occurred, regardless of the method of service.

* 1. **Equal Opportunity Employment**. Contractor represents that it is an equal opportunity employer and it shall not discriminate against any subcontractor, employee, or applicant for employment because of race, religion, color, national origin, ethnic group identification, mental disability, physical disability, medical condition, genetic information, marital status, ancestry, sex, gender, sexual orientation, gender identity, gender expression, age, or military and veteran status. Such non-discrimination shall include, but not be limited to, all activities related to initial employment, upgrading, demotion, transfer, recruitment or recruitment advertising, layoff, or termination.
  2. **Time of Essence**. Time is of the essence for each and every provision of this Agreement. The acceptance of late performance shall not waive the right to claim damages for such breach nor constitute a waiver of the requirement of timely performance of any obligations remaining to be performed.
  3. **OCERS Right to Employ Other Contractors**. OCERS reserves the right to employ other contractors in connection with the Services.
  4. **Successors and Assigns**. This Agreement shall be binding on the successors and assigns of the Parties.
  5. **Assignment or Transfer**. Contractor shall not assign, hypothecate, or transfer, either directly or indirectly (including by operation of law), this Agreement or any interest herein without the prior written consent of OCERS.
  6. **Amendment**. This Agreement may not be altered or amended except in a writing signed by both Parties. Changes to this Agreement may be made by Change Order in any of the ways listed, below. Unless explicitly stated in the Change Order, all terms of this Agreement will apply to the Change Order.
     1. Mutual Agreement. Either Party may issue a written Request for Change Order to the other Party by specifying the scope and nature of the change and the expected completion date. When OCERS is the requesting Party, Contractor shall provide a written proposal in response to the Request within twenty (20) calendar days of receipt. The proposal shall identify any impact on price and schedule, including: (i) a revised schedule in relation to the proposed change; (ii) any reduction in price and an explanation of how it was calculated; (iii) any increase in price and an explanation of how it was calculated, including the number of staff hours by level of personnel needed to effect the change, the expected personnel prices based on professional service rates identified in this Agreement, and non-personnel prices. Contractor’s proposal shall in all instances be accompanied by documentation to support the price and schedule impacts that are identified, and Contractor shall certify that no material factors are known to Contractor except as set forth in the proposal. The Parties shall negotiate in good faith and in a timely manner as to the adjustment in price, time of performance, and any other relevant Agreement provisions affected by the Change Order. If the Parties reach agreement, a Change Order signed by authorized representatives of both parties shall effectively serve as an amendment to the Agreement. When Contractor has
     2. Notice of Change Order by OCERS. When OCERS has requested a Change Order, but the Parties are unable to reach an agreement pursuant to section 3.7.1, above, OCERS may in its sole discretion order changes that are within the general scope of the contract at any time by providing to Contractor a written Notice of Change Order. Changes within the scope of the contract include, but are not limited to, the Services performed by Contractor and the method, price, time, or place of delivering or implementing the Services. Contractor shall comply with the Notice upon receipt and shall be compensated for any additional costs incurred as the result of such Change Order, or give a credit to OCERS for any savings. The compensation or credit shall be determined by one of the following methods:
        1. By mutual agreement between the parties in writing.
        2. By agreeing upon a unit price or using a unit price set forth in the Agreement, if the work to be done can be expressed in units, and the contractor accounts for the number of units of work performed, subject to OCERS right to audit Contractor’s records or determine the correct number of units independently. By ordering Contractor to proceed with the work and keep records of all costs incurred and savings realized. A markup for overhead and profit may be allowed, and the basis for its calculation must be consistent with and substantially similar to the calculation of overhead and profit used in Contractor’s original pricing. The same calculation shall be used for determining a decrease in price and savings to be credited to OCERS. Contractor shall present OCERS with all vouchers and records of expenses incurred and savings realized. OCERS shall have the right to audit Contractor’s records to determine costs or savings. Any claim for an adjustment in price under this provision must be made by written notice to OCERS within thirty (30) calendar days from receipt of OCERS Notice of Change Order. If the Parties are unable to agree on an amount of adjustment, changes to the price for Services or time for performance shall be resolved in accordance with the procedures for dispute resolution under this Agreement. Neither the existence of a claim nor a dispute resolution process, litigation or any other provision of this contract shall excuse the contractor from promptly complying with the changes ordered by OCERS or with performance of this Agreement generally.
        3. When OCERS has ordered changes through a Notice of Change Order, but the Parties are unable to reach a mutual agreement regarding any aspect of the changes, OCERS may, at its sole and exclusive option, engage a third party to perform the services related to implementing the changes, and Contractor shall cooperate fully with such third party. The use of a third party may include, but is not limited to, the supplying of equipment or third-party software that was otherwise to be supplied by the Contractor. Contractor shall be relieved of its responsibility to provide that equipment or third-party software related to the ordered changes, and OCERS shall be relieved of its responsibility to pay Contractor for that equipment or third-party software.
     3. Request for Change Order by Contractor. When the Contractor has requested a change to the Agreement, and mutual agreement cannot be reached by the Parties, Contractor must continue performing its obligations under the Agreement.
     4. Preparation Expense. The process for preparing a Change Order is a normal project expense. Contractor will not be compensated separately for Change Order preparation, and no additional or future costs will be associated with a change order beyond what is defined in the Change Order.
  7. **Waiver**. All waivers under this Agreement must be in writing to be effective. No waiver of any default shall constitute a waiver of any other default or breach, whether of the same or other covenant or condition.
  8. **No Third-Party Beneficiaries**. There are no intended third-party beneficiaries of any right or obligation assumed by the Parties.
  9. **Invalidity; Severability**. If any portion of this Agreement is declared invalid, illegal, or otherwise unenforceable by a court of competent jurisdiction, the remaining provisions shall continue in full force and effect.
  10. **Governing Law; Venue**. This Agreement shall be governed by the laws of the State of California. The exclusive venue for any dispute arising out of or relating to this Agreement shall be in Orange County, California.
  11. **Injunctive Relief for Breach**. Contractor’s obligations under this Agreement are of a unique character that gives them particular value; breach of any of such obligations will result in irreparable and continuing damage to OCERS for which there will be no adequate remedy at law; and, in the event of such breach, OCERS will be entitled to injunctive relief and/or a decree for specific performance, and such other and further relief as may be proper (including monetary damages if appropriate).
  12. **Attorneys’ Fees**. If either Party commences an action against the other Party, either legal, administrative, or otherwise, arising out of or in connection with this Agreement, the prevailing party in such litigation shall be entitled to have and recover from the losing party reasonable attorneys’ fees and all other costs of such action.
  13. **Authority to Enter Agreement**. Contractor has all requisite power and authority to conduct its business and to execute, deliver, and perform the Agreement. Each Party warrants that the individuals who have signed this Agreement have the legal power, right, and authority to make this Agreement and bind each respective Party.
  14. Proof of Continuing Financial Viability. Upon OCERS request, which shall be made no more than annually, Contractor shall provide OCERS with a copy the Contractor’s most recent audited annual financial statements.
  15. **Counterparts**. This Agreement may be signed in counterparts, each of which shall constitute an original. A signed copy of this Agreement delivered by facsimile, email, or other means of electronic transmission is deemed to have the same legal effect as delivery of an original signed copy of this Agreement.
  16. **Integration**. This Agreement represents the entire understanding of OCERS and Contractor as to those matters contained herein. No prior oral or written understanding shall be of any force or effect with respect to those matters covered hereunder. Neither Party shall be deemed to be the drafter of this Agreement and no presumption for or against the drafter shall be applicable in interpreting or enforcing this Agreement.
  17. **Interpretation**. This Agreement has been negotiated at arm’s length and between parties sophisticated and knowledgeable in the matters dealt with in this Agreement. Each Party has been represented by experienced and knowledgeable legal counsel. Accordingly, any rule of law (including, without limitation, California Civil Code Section 1654) or legal decisions that would require interpretation of any ambiguities in this Agreement against the party that has drafted it shall not be applicable and are hereby waived. The provisions of the Agreement shall be interpreted in a reasonable manner to effectuate the purpose of the Parties and this Agreement.
  18. **Headings**. Titles or headings are not part of this Agreement, are for convenience of reference only, and shall have no effect on the construction or legal effect of this Agreement.
  19. **Precedence**. In the event of any conflict, inconsistency, or ambiguity between the terms and conditions in the main body of this Agreement and the terms and conditions in any exhibit, the main body of this Agreement shall control. This Agreement and all attached exhibits will be construed to be consistent, insofar as reasonably possible. When interpreting this Agreement, precedence shall be given to its respective parts and amendments in the following descending order:
      + 1. Amendments to this Agreement entered into pursuant to Section 3.7 herein.
        2. This Agreement.
        3. Exhibit A: Scope of Services, Exhibit B: Fee Schedule, and Exhibit C: Key Personnel.
        4. OCERS Request for Proposal dated May 2025 attached as Exhibit “D.”
        5. Contractor’s Response to OCERS Request for Proposal, attached as Exhibit “E.”

IN WITNESS WHEREOF, the Parties hereby have caused this Agreement to be executed on the Effective Date:

APPROVED: APPROVED:

**OCERS** **[CONTRACTOR]**

By: By:

Name: Name:

Title: Title:

By:

Name:

Title:

**EXHIBIT A**

Scope of Services

Starting on the Effective Date, and continuing during the Term, Contractor will perform the Services in accordance with the terms of the Agreement. The Services consist of:

### Scope of Services

### B.1 Overview

The respondent shall provide a product or collection of products that, will meet the commitments and requirements outlined in this section, are aligned with OCERS Vision for the future (See [Appendix A](#AppendixAVision)), and can easily adapt over time.

The respondent shall be responsible for managing all aspects of the OCERS Horizon Pension Administration Solution implementation and will work collaboratively with OCERS and other consultants OCERS has partnered with for the OCERS Horizon program.

The respondent shall recognize that OCERS is a small agency with limited resources and experience in modern technologies and large system implementation. Therefore, OCERS is outsourcing the implementation of their new pension administration system and supporting components. OCERS defines out-sourcing as, the respondent is responsible for all aspects of the implementation, support, training, and maintenance of their solution unless otherwise stated by OCERS.

### B.2 Project Commitments and Requirements

Commitments have also been provided in the form of a spreadsheet for responding.

All commitments are:

* a high-level promise or agreement by the respondent stating they will satisfy the capability at the "what" level. It is expected the respondent will need multiple detailed requirements to satisfy a given commitment.
* meant to convey that the pension organization wants automated, not manual processing and functionality, unless otherwise stated.
* categorized by functional areas for convenience only. A commitment applies throughout the system and not only to a specific area.

Table 6.0

| Functional Area | RFP Number | RFP OCERS Commitment |
| --- | --- | --- |
| 1099 and IRS | 1 | Shall provide OCERS the ability to generate 1099Rs in the required IRS current format, including field level validations that identify invalid entries (e.g., non-numeric character in numeric fields, negative amounts). |
| 1099 and IRS | 2 | Shall provide ability to view historical 1099Rs. |
| 1099 and IRS | 3 | Shall provide ability to reprint all 1099Rs. |
| 1099 and IRS | 4 | Shall generate a file with a header record for the IRS. |
| 1099 and IRS | 5 | Shall generate a file with 1099R detail and summary reports for the IRS (e.g., Federal, State, or combined). |
| 1099 and IRS | 6 | Shall generate a file to print the 1099Rs. |
| 1099 and IRS | 7 | Shall provide the ability to revise and correct 1099R data, indicate that it has been revised, and maintain history of all revisions. |
| 1099 and IRS | 8 | Shall generate 1099R for any prior year payment adjustments made and indicate that it has been revised. |
| 1099 and IRS | 9 | Shall provide the ability to regenerate 1099R for any prior year adjustments made with or without IRS withholding adjustments. |
| 1099 and IRS | 10 | Shall generate a view for any payment adjustments made that automatically regenerated a 1099R. |
| 1099 and IRS | 11 | Shall reconcile with all fields on standard 1099R form |
| 1099 and IRS | 12 | Shall provide reconciled 1099R to IRS payments view |
| 1099 and IRS | 13 | Shall provide view of reconciled 1099R to individual payee payments |
| 1099 and IRS | 14 | Shall provide the ability to credit any cancelled payments with tax withholding to the time period as defined by OCERS |
| 1099 and IRS | 15 | Shall provide the ability to track all payments made to the IRS |
| 1099 and IRS | 16 | Shall provide the ability to calculate the taxable portion of distribution for 1099Rs |
| 1099 and IRS | 17 | Shall provide the ability to track all cancellations with tax withholding |
| 1099 and IRS | 18 | Shall have the ability to route a 1099R to a person named as contact for a deceased individual |
| 1099 and IRS | 19 | Shall provide a view showing amounts in 1099R as define by OCERS |
| 1099 and IRS | 20 | Shall generate edit report when file is created to reconcile federal, state, pre, and post-tax |
| 1099 and IRS | 21 | Shall generate file for IRS for corrected 1099Rs as needed |
| 1099 and IRS | 22 | Shall provide appropriate edits when processing 1099Rs (e.g., address length exceeds space on 1099 form) |
| 1099 and IRS | 23 | Shall provide the ability to flag one or more individuals to prevent a 1099R from being generated |
| 1099 and IRS | 24 | Shall ensure the system has the most current version of the 1099R template based on IRS formats and that this is maintained in future updates. |
| 1099 and IRS | 25 | Shall provide the ability to receive and automatically update IRS and State of California updates (e.g. tax tables, tax forms and templates) and maintain history |
| 1099 and IRS | 26 | Shall provide the ability to close a tax year |
| 1099 and IRS | 27 | Shall provide the ability to update prior tax year without adversely impacting the current tax year |
| 1099 and IRS | 28 | Shall provide the ability to process IRC 415 limit 1099Rs |
| 1099 and IRS | 29 | Shall provide the ability to generate the IRS 945 and 945A (Annual Return of Withheld Federal Income Tax) form |
| 1099 and IRS | 30 | Shall provide the ability to amend the IRS 945 and 945A (Annual Return of Withheld Federal Income Tax) form for a prior tax year |
| 1099 and IRS | 31 | Shall provide the ability to create a 1042S and/or a 1099R for non-resident alien |
| 1099 and IRS | 32 | Shall have the ability to create a test file with a header record for the IRS |
| 1099 and IRS | 33 | Shall have the ability to provide federal and state rules regarding tax requirements |
| 1099 and IRS | 34 | Shall have the ability to provide the option to "opt-in or opt-out" in any communications required based on OCERS business rules |
| 1099 and IRS | 35 | Shall have the ability to create test batches for 1099s |
| 1099 and IRS | 36 | Shall have the ability to calculate over payments for 1099s |
| 1099 and IRS | 37 | Shall have the ability to auto-populate data and rates (e.g., contribution and tax rates) based on single entry. |
| 1099 and IRS | 38 | Shall reconcile 1099R total to pension payments and automatically update and create an approval process when a discrepancy is identified (e.g. disability taxability change, overpayments repayments on a benefit for a deceased member within the same year, recalculations of overpayments repayments within the same year) |
| 1099 and IRS | 39 | Shall provide the ability to handle compensation limits and other requirements of the California Public Employees' Pension Reform Act (PEPRA). |
| 1099 and IRS | 40 | Shall provide the ability to store and maintain annual limits as provided by the IRS. |
| 1099 and IRS | 41 | Shall provide the ability to identify highly compensated employees based on IRS and PEPRA rules. |
| 1099 and IRS | 42 | Shall provide the ability to identify amounts above IRS and PEPRA limits and adjust amounts and calculations as required. |
| 1099 and IRS | 43 | Shall provide the ability to generate a workflow when a member or benefit recipient is nearing or exceeds an IRS or PEPRA limit. |
| 1099 and IRS | 44 | Shall provide the ability to notify payees regarding split payments related to limits and reduce benefit payment based on the split when a 415(m) agreement is in place. |
| 1099 and IRS | 45 | Shall provide a view related to PEPRA and IRS limits |
| 1099 and IRS | 46 | Shall provide the ability to generate information to send to the actuary to determine the split of benefits |
| 1099 and IRS | 47 | Shall provide the ability to notify the employer of the 415m limit split amount and provide appropriate tax information. |
| 1099 and IRS | 48 | Shall provide the ability to cap the payment based on the 415m split when a 415(m) agreement is in place. |
| 1099 and IRS | 49 | Shall provide the ability to credit back to the employer the amount of the 415m replacement. |
| 1099 and IRS | 50 | Shall automatically track 401(a)(17) and SSI (PEPRA) compensation limits and provide an alert when a member is approaching the limit. |
| 1099 and IRS | 51 | Shall automatically calculate refunds for member's whose compensation has exceeded 401(a)(17) and SSI (PEPRA) Limits. |
| 1099 and IRS | 52 | Shall automatically correct any previous 1099R based on OCERS business rules due to recalculation of benefit in which the taxability has been changed and provide an approval process within the workflow. |
| Accounting | 53 | Shall provide appropriate GL for transactions as defined by OCERS |
| Accounting | 54 | Shall support all the OCERS accounting funds, employers, rate groups, plans, journals, chart of accounts, general ledger (GL) transactions and the roll-ups of any combination of these. |
| Accounting | 55 | Shall automatically create appropriate general ledger transactions and produce reconciliation reports, as defined by OCERS, for any financial transactions (e.g., remittance of contributions, refunds of employer overpayments) |
| Accounting | 56 | Shall provide a detailed history of all GL transactions processed |
| Accounting | 57 | Shall provide automated integration between the OCERS accounting package (Sage - Intacct) and the bidders LOB solution according to the system's chart of accounts. |
| Accounting | 58 | Shall provide the ability for all funds, as indicated in the pension solution database, to be continuously in agreement with the general ledger reserve balances for same. |
| Accounting | 59 | Shall generate a view at the end of each business day relating to the collection and disbursement of funds. |
| Accounting | 60 | Shall provide adequate reconciliation views to help end-users verify the transactions processed, including daily, weekly, monthly and fiscal year reconciliations or any time frame parameter entered by OCERS |
| Accounting | 61 | Shall accommodate GL transactions for fund transfers |
| Accounting | 62 | Shall generate a fund transfer reconciliation report that lists any funds that may have been transferred from one account to another |
| Accounting | 63 | Shall distinguish cash vs. non-cash financial GL transactions (e.g., interest, miscellaneous credits to member's account) |
| Accounting | 64 | Shall adhere to Governmental Accounting Standards Board (GASB) statements and Generally Accepted Accounting Principles (GAAP). |
| Accounting | 65 | Shall support multiple legal entities (e.g. OPEB Funds) |
| Accounting | 66 | Shall provide the ability to integrate to a check printing vendor service (e.g., vouchers, weekly and monthly checks and warrants) according to OCERSs chart of accounts |
| Accounting | 67 | Shall provide a view of payments made. |
| Accounting | 68 | Shall generate separate monthly benefit and refund views, identifying the monthly journal entries posted to GL and a summary of all benefit payrolls, taxes, and adjustments |
| Accounting | 69 | Shall provide reconciliation views to ensure balance plus any GL activity through a date (user entered parameter) equals the fund balance |
| Actuary Extract Process | 70 | Shall provide the ability to be able to calculate the present value of the benefits for payees and non-payees using the appropriate actuarial tables and applicable business rules. |
| Actuary Extract Process | 71 | Shall provide the ability to generate files to and accept files from the external actuary with selected data parameters (e.g. as of date, run date) for members, payees, non-payees, and employers that can be exported from or imported into the system. |
| Actuary Extract Process | 72 | Shall provide the ability to import, store, and adjust employer and employee contribution rates. |
| Actuary Extract Process | 73 | Shall provide ability to generate files of all detailed financial activity for an accounting year for individual employers, by plan, rate groups and employer groups, including all member and employer contribution and payee or non-payee benefit expense transactions. |
| Actuary Extract Process | 74 | Shall provide a view of annuitant present values allocated to employer and plan accounts. |
| Actuary Extract Process | 75 | Shall provide the ability to define which data to use based on as of date or run date as part of the actuary extract process. |
| Actuary Extract Process | 76 | Shall provide the ability to create separate files that are subsets of the main extract related to payee and non-payee data as requested by the actuary. |
| Actuary Extract Process | 77 | Shall provide the ability to use audit history information to identify when data was available in the system, in addition to the specific dates captured. (e.g., date of death reported in 2023, but the actual date of death was in 2022) |
| Actuary Extract Process | 78 | Shall provide the ability to store status dates and capture when those dates were stored or changed. |
| Actuary Extract Process | 79 | Shall provide the ability to compare the current years actuary file to the previous years to identify differences as required. |
| Actuary Extract Process | 80 | Shall provide the ability to identify a reason for changes in key actuarial data (e.g. reciprocity, salary changes from MOUs, benefit changes) so it can be provided to the actuary. |
| Actuary Extract Process | 81 | Shall provide the ability to use both active and closed employer data as part of the actuary process based on rules (e.g., employer no longer has active members but still has liability.) |
| Actuary Extract Process | 82 | Shall provide a comprehensive data reporting and analytic tool as part of the overall solution. |
| Actuary Extract Process | 83 | Shall provide the ability to create member, annuitant, and employer data sets for transmission to the actuary for preparing end-of-year valuation or ad hoc files. Must include methods for pulling data for a single record or groups of records by setting parameters |
| Actuary Extract Process | 84 | Shall provide options for sorting, filtering, and refining information within the Actuary Extract file. |
| Audit | 85 | Shall log all modifications to data fields, including the previous and updated values, along with the pertinent details of the user or system making the change (e.g. timestamp, device, IP address, user ID, OCERS staff, employer, member, batch program ID) on each record that is updated. |
| Audit | 86 | Shall provide a detailed view of all transaction overrides, allowing filtering by OCERS-defined parameters (e.g. date range, transaction type). |
| Audit | 87 | Shall provide the ability for the user to extract audit data without IT or vendor assistance to support compliance, reporting, and security monitoring. |
| Audit | 88 | Shall provide the ability to archive audit records |
| Audit | 89 | Shall provide a view of audit records (non-archived, archived) based on parameters (e.g., by a date and time range, by transaction type, for an employer, member, user) |
| Audit | 90 | Shall provide configurable alerts and notifications for predefined audit and security events (e.g. data access, user activity, critical system changes). |
| Audit | 91 | Shall track and store audit history for all records reviewed by OCERS or external entities (e.g., auditors, agencies, members), including the date and outcome of the audit. |
| Audit | 92 | Shall provide the ability to provide a view of all records that have been audited and the results of the audits |
| Audit | 93 | Shall allow the creation of read-only user roles specifically designed to facilitate audit-related activities. |
| Audit | 94 | Shall provide a view of historical records per OCERS parameters (e.g., department, date range, by transaction type, for an employer, member or user). |
| Audit | 95 | Shall generate a view of members within a specific employer to be audited based on OCERS defined parameters |
| Audit | 96 | Shall have the ability to lock an account for investigations purposes and require selecting a reason why. |
| Audit | 97 | Shall generate a view for accounts to be audited based on OCERS defined parameters (e.g., new retirees, recent account changes) |
| Audit | 98 | Shall track and report user activity within the system, including session duration and navigation patterns. |
| Audit | 99 | Shall provide the ability to extract all updated data during a specified timeframe based on OCERS parameters (e.g., changes by a user type - member, staff, employer) |
| Audit | 100 | Shall track all access, including view, to certain categories of PII and PHI, based on the role of the user accessing (e.g., username, date/time, IP address and location). |
| Audit | 101 | Shall have the ability to generate a random sample of transactions within a specific employer transmittal data to be audited based on OCERS defined parameters |
| Audit | 102 | Shall have the ability to track, record and create an audit trail to any roles, permissions, and access rights changes done in the proposed solution. |
| Audit | 103 | Shall provide a configurable list showing the last ‘X’ number of individuals, organizations, and processes accessed by an OCERS user, based OCERS-defined parameters (e.g. a count, timeframe). |
| Audit | 104 | Shall provide a view of all transaction overrides per OCERS-defined parameters (e.g. date range, employer, User ID). |
| Audit | 105 | Shall log all system access, authentication attempts, and administrative actions. |
| Audit | 106 | Shall record all changes to member data, benefit calculations, and payment details, including the user ID, timestamp, and reason for the change. |
| Audit | 107 | Shall retain audit logs for a minimum of [X] years per OCERS-defined parameters. |
| Audit | 108 | Shall ensure that audit logs are tamper-proof and protected from unauthorized modification or deletion. |
| Audit | 109 | Shall generate a view on system access (e.g. last login, failed login attempts, inactive accounts). |
| Audit | 110 | Shall support automated reconciliation reports and processes to validate data accuracy and consistency. |
| Audit | 111 | Shall provide the ability to support multi-level approvals for changes to key financial and member data. |
| Audit | 112 | Shall provide configurable audit trail reports that can be filtered by date, user, action type, and affected records. |
| Audit | 113 | Shall generate exception reports highlighting anomalies or unauthorized data changes. |
| Audit | 114 | Shall support compliance with applicable financial, security, and privacy regulations (e.g., GASB, SOC 2, NIST, IRS, SSAE 18). |
| Audit | 115 | Shall provide audit evidence required for external and internal audits. |
| Audit | 116 | Shall enable audit log access to authorized users only, with strict controls over log viewing and export. |
| Audit | 117 | Shall provide list of the last 'x' number of people, organizations, and processes accessed by individual OCERS user (e.g., number of people, timeframe, parameter). |
| Audit | 118 | Shall track dates of Employer Reporting audits performed by OCERS. |
| Benefit Adjustments | 119 | Shall re-execute payroll edits once an adjustment and correction has been made in response to an exception/error or a new record is created. |
| Benefit Adjustments | 120 | Shall provide the ability to adjust all applicable payments based on an adjustment (e.g. new records, DRO) based on OCERS business rules. |
| Benefit Adjustments | 121 | Shall calculate the reserve value, as received from the actuary, and shall include an adjustment from actuarial value to cost value. |
| Benefit Adjustments | 122 | Shall provide a view that will provide the details of how the adjustment was calculated, (e.g., FAS, plan type, pay period, positive and negative) |
| Benefit Adjustments | 123 | Shall track information identifying number of adjustment calculations completed, date completed, and by whom, assigning a unique number, and parameters (e.g. plan and unplanned) used for calculation that can be viewed by OCERS staff. |
| Benefit Adjustments | 124 | Shall launch a workflow when an overpayment that is over the OCERS defined threshold occurs (e.g. over 90 days and/or over 10%) and OCERS overpaid/under paid benefits and contributions policies. |
| Benefit Adjustments | 125 | Shall approve record for payment only after pension adjustment calculation has been verified |
| Benefit Adjustments | 126 | Shall provide the ability for pension adjustment overrides or status changes (e.g., COLA adjustment, pension recalculation +/-), based on user role |
| Benefit Adjustments | 127 | Shall provide the ability to require notes to be entered whenever an override or status change is performed |
| Benefit Adjustments | 128 | Shall launch a workflow requesting approval on any pension override or status change, based on user role and OCERS business process |
| Benefit Adjustments | 129 | Shall track and initiate a workflow when a receipt of change in status occurs (e.g., marital status, death of survivor annuitant, divorce) |
| Benefit Adjustments | 130 | Shall provide the ability to send a notification to a member or survivor when an adjustment occurs, including an explanation of the amount change and breakdown of change |
| Benefit Adjustments | 131 | Shall provide the ability to recalculate the final average salary and/or service credit and final benefit amount if a change in the salary originally reported or of term date, notify retiree and change benefit amount |
| Benefit Adjustments | 132 | Shall provide the ability to store COLA factors and associated dates to be processed against each retiree based on OCERS business rules |
| Benefit Adjustments | 133 | Shall calculate the COLA and apply it to all appropriate accounts and corresponding payments. Including for example, members who have DRO's that designate the ex-spouse does not receive any portion of the COLA so the member receives the COLA based on full benefit amount pre-DRO (non-reduced). |
| Benefit Adjustments | 134 | Shall provide the ability to enter in catch-up (retroactive active) COLA factors to be processed against each retiree based on OCERS business rules |
| Benefit Adjustments | 135 | Shall provide for user determination of COLA calculations for cases where there are exceptions that could not be updated by the system |
| Benefit Adjustments | 136 | Shall retain both the rates used in calculating the COLAs for past years as well as the actual COLA increases applied to individuals’ benefit amounts |
| Benefit Adjustments | 137 | Shall provide the ability to calculate an alternate payee portion of a member's COLA and reconcile based on OCERS business rules |
| Benefit Adjustments | 138 | Shall display the COLA increase on the web self-service site |
| Benefit Adjustments | 139 | Shall provide the ability to track members that return to work as indicated by receipt of employer payroll records or Return to Work request. |
| Benefit Adjustments | 140 | Shall apply OCERS standards and conditions in the event of a return to work and suspend payment of benefit per OCERS Return to Work process. |
| Benefit Adjustments | 141 | Shall inform OCERS and Employers when a retiree decides to return to work (re-enrolls) and provide retirement information (for each group/plan/system from which member retired) to ensure that the rehired retiree adheres to the return-to-work requirements based on OCERS business rules and policies. |
| Benefit Adjustments | 142 | Shall create and maintain a receivable for retirement benefits that need to be returned based on OCERS business rules |
| Benefit Adjustments | 143 | Shall generate correspondence to retired member returning to work to request repayment of retirement benefits previously paid |
| Benefit Adjustments | 144 | Shall notify member confirming return to work, including Return-to-Work (RTW) rules and potential suspension of benefit |
| Benefit Adjustments | 145 | Shall provide the ability to notify member when approaching return to work threshold, based on OCERS business rules |
| Benefit Adjustments | 146 | Shall provide a view of all members for whom employer payroll records or return to work requests were submitted during defined date range, providing related information (e.g., retirement information) |
| Benefit Adjustments | 147 | Shall receive return to work notification electronically on transmittal, launching the corresponding workflow |
| Benefit Adjustments | 148 | Shall provide a view of all members with missing return to work request for OCERS defined parameters |
| Benefit Adjustments | 149 | Shall notify member of reason for suspension of benefits |
| Benefit Adjustments | 150 | Shall notify member of potential suspension of benefit once eligible earnings are reported |
| Benefit Adjustments | 151 | Shall notify member of mandatory repayment of benefits if member meets eligibility period and benefits were paid to the member during this period |
| Benefit Adjustments | 152 | Shall provide the ability to invoice employers, including interest, for delinquent contributions and benefits received when working retired member meets base plan eligibility requirements |
| Benefit Adjustments | 153 | Shall, in the event of multiple payments (e.g., Partial Lumpsum Option (PLSO)), determine the final payment amount (reconcile) |
| Benefit Adjustments | 154 | Shall provide the ability to expedite Partial Lumpsum Option (PLSO) payments. |
| Benefit Adjustments | 155 | Shall provide ability to calculate estimate of benefits for annuitant eligible to apply for option for new spouse due to marriage after retirement. |
| Benefit Adjustments | 156 | Shall provide ability to compare FAS with member account ledgers after members have been added to Payroll to determine if annuity and lump-sum distributions need to be adjusted |
| Benefit Adjustments | 157 | Shall provide the ability to stop payments upon initial change of elections within timeframe allowed by OCERS laws and rules |
| Benefit Adjustments | 158 | Shall launch a workflow when a retirement election change is requested within timeframe allowed by OCERS laws and rules |
| Benefit Adjustments | 159 | Shall provide ability to recalculate members' annuity to include or exclude Partial Lumpsum Option (PLSO) distribution |
| Benefit Adjustments | 160 | Shall provide the ability to adjust annuity amount in event of underpayment of insurance premium |
| Benefit Adjustments | 161 | Shall provide the ability to send out benefit verification form every x years |
| Benefit Adjustments | 162 | Shall prevent recalculated benefit amount from going below the initial payment amount (base) (e.g., negative COLA) |
| Benefit Adjustments | 163 | Shall provide the ability to negate a retirement by reversing all retirement transactions according to OCERS business rules |
| Benefit Adjustments | 164 | Shall create an overpayment when negating a retirement for all money paid out to the retiree |
| Benefit Adjustments | 165 | Shall, in the case of multiple minor children, when one child ages out (e.g. turns 18, full-time student) based on OCERS business rules, the benefit is redistributed between remaining minor children |
| Benefit Adjustments | 166 | Shall provide an automated process for applying benefit adjustments, including cost-of-living adjustments (COLAs), recalculations, and retroactive active changes. |
| Benefit Adjustments | 167 | Shall support OCERS-defined rules for benefit adjustments based on plan provisions, statutory requirements, and administrative policies. |
| Benefit Adjustments | 168 | Shall allow benefit adjustments to be applied at the individual, group, or plan-wide level. |
| Benefit Adjustments | 169 | Shall support multiple types of benefit adjustments, including increases, decreases, and recalculations due to changes in member data. |
| Benefit Adjustments | 170 | Shall maintain a detailed audit trail of all benefit adjustments, any override or status change to a pension, including the user who made the adjustment, date, reason, and approval status. |
| Benefit Adjustments | 171 | Shall support automatic COLA calculations based on predefined formulas, including percentage-based, CPI-based, and fixed dollar increases. |
| Benefit Adjustments | 172 | Shall allow configuration of COLA eligibility rules, including service requirements, retirement date thresholds, and plan-specific COLA caps. |
| Benefit Adjustments | 173 | Shall provide a simulation feature for COLA impacts before applying adjustments. |
| Benefit Adjustments | 174 | Shall generate notifications to retirees and beneficiaries regarding COLA changes. |
| Benefit Adjustments | 175 | Shall integrate COLA adjustments seamlessly with payroll processing to ensure accurate payments. |
| Benefit Adjustments | 176 | Shall support retroactive active benefit adjustments, including back-pay calculations for underpaid benefits. |
| Benefit Adjustments | 177 | Shall automatically calculate interest on retroactive active adjustments when required per OCERS Business rules and policies |
| Benefit Adjustments | 178 | Shall generate retroactive active adjustment reports detailing changes, calculations, and payment schedules. |
| Benefit Adjustments | 179 | Shall allow adjustments to be made across multiple past pay periods and fiscal years. |
| Benefit Adjustments | 180 | Shall allow authorized users to adjust benefits due to errors in service credit, salary history, or contribution data. |
| Benefit Adjustments | 181 | Shall provide the ability to have an approval workflow for benefit corrections, including supervisor review and audit verification. |
| Benefit Adjustments | 182 | Shall automatically recalculate benefits based on updated member data and apply the changes retroactive actively if applicable. |
| Benefit Adjustments | 183 | Shall retain original benefit calculations alongside adjusted values for auditing purposes. |
| Benefit Adjustments | 184 | Shall support automatic recalculations of survivor benefits when a retiree or beneficiary passes away. |
| Benefit Adjustments | 185 | Shall allow adjustments for changes in dependent status, such as the addition or removal of eligible beneficiaries. |
| Benefit Adjustments | 186 | Shall apply benefit reductions or terminations when dependents reach disqualifying age or status. |
| Benefit Adjustments | 187 | Shall allow benefit adjustments based on changes in laws, regulations, or board-adopted policies. |
| Benefit Adjustments | 188 | Shall provide the ability to implement one-time or recurring benefit adjustments based on legislative mandates. |
| Benefit Adjustments | 189 | Shall support grandfathering rules for members under different benefit structures. |
| Benefit Adjustments | 190 | Shall provide tools to analyze the impact of legislative changes on benefit adjustments and throughout the solution. |
| Benefit Adjustments | 191 | Shall provide configurable templates for benefit adjustment letters and electronic notifications. |
| Benefit Adjustments | 192 | Shall provide the ability for members to view benefit adjustments through a secure member portal. |
| Benefit Calculation | 193 | Shall calculate benefit amount for all member tiers and plans for all applicable retirement types (e.g., age and service, disability, survivor benefits, multiple employment, mixed service, early) |
| Benefit Calculation | 194 | Shall pre-populate the calculation with real-time data, including information from the retirement application |
| Benefit Calculation | 195 | Shall utilize the same calculation engine as the benefit estimates and Web Self Service |
| Benefit Calculation | 196 | Shall perform final average salary computations |
| Benefit Calculation | 197 | Shall provide the ability to include supplemental payroll (e.g. lump sum bonus , bilingual, longevity pay) in FAS computation |
| Benefit Calculation | 198 | Shall notify user when there is supplemental payroll included in FAS |
| Benefit Calculation | 199 | Shall provide the ability to override final average salary (FAS) calculation |
| Benefit Calculation | 200 | Shall require notes to be entered whenever FAS is overridden |
| Benefit Calculation | 201 | Shall flag an account if FAS was overridden |
| Benefit Calculation | 202 | Shall provide the ability to generate a workflow requesting a secondary approval for FAS overrides |
| Benefit Calculation | 203 | Shall flag 'spiked' months in FAS computation based on OCERS business rules |
| Benefit Calculation | 204 | Shall provide the ability to modify FAS for segregated accounts (account established as a result of a DRO) |
| Benefit Calculation | 205 | Shall provide a view that will contain a combination of the payroll records selected for the FAS and the details of how the benefit was calculated |
| Benefit Calculation | 206 | Shall determine the member’s earliest retirement date based on the retirement eligibility rules |
| Benefit Calculation | 207 | Shall adjust the combination age and service eligibility rule (e.g., Rule of 80, of 90) based on mixed service ratio (e.g. service, general, safety service) |
| Benefit Calculation | 208 | Shall calculate and provide a view reflecting retirement options including lump sum payment for retirement eligibility less than the OCERS-defined minimum (e.g. lump sum of contributions and interest amount, retirement amount at age 70) |
| Benefit Calculation | 209 | Shall calculate benefit amount for all payment options |
| Benefit Calculation | 210 | Shall calculate benefit amount for payment option for beneficiary(s) |
| Benefit Calculation | 211 | Shall track information identifying number of retirement calculations completed, date completed, and by whom (OCERS), assigning a unique number, and parameters used for calculation |
| Benefit Calculation | 212 | Shall calculate the benefit, subsequent to a negated retirement (e.g. disability, felony forfeiture) based on OCERS business rules |
| Benefit Calculation | 213 | Shall provide the ability for benefit overrides |
| Benefit Calculation | 214 | Shall provide a view showing benefits that were overridden for OCERS-defined parameters |
| Benefit Calculation | 215 | Shall provide the ability to require secondary approval for benefit overrides |
| Benefit Calculation | 216 | Shall require notes to be entered whenever a benefit amount is overridden |
| Benefit Calculation | 217 | Shall include the ability to apply deductions when calculating a benefit (e.g., taxes) |
| Benefit Calculation | 218 | Shall provide the ability to handle exceptions to standard benefit calculation, (e.g., Split Calcs, Minimum Benefit, Split Plans) |
| Benefit Calculation | 219 | Shall apply COLAs on pro rata basis as defined by OCERS |
| Benefit Calculation | 220 | Shall determine if the benefit amount exceeds the OCERS defined threshold (parameter) and flag. |
| Benefit Calculation | 221 | Shall provide the ability to project wage and contributions through date of last contribution |
| Benefit Calculation | 222 | Shall provide the ability to apply actuarial calculation of benefit based on OCERS and actuarial business rules |
| Benefit Calculation | 223 | Shall calculate the benefit for eligible period of return-to-work employment |
| Benefit Calculation | 224 | Shall prevent final approval to put on payroll if certain conditions exist, as defined by OCERS (e.g., delinquent contributions, invalid retirement, certificates, options letters). |
| Benefit Calculation | 225 | Shall approve record for payment only after benefit calculation is verified and audited |
| Benefit Calculation | 226 | Shall update a benefit calculation before issuing first pension check (e.g., option changes received before retirement date) |
| Benefit Calculation | 227 | Shall have the ability to handle and manage tax exclusions including 1099R reporting |
| Benefit Calculation | 228 | Shall provide the ability to modify FAS for segregated accounts |
| Benefit Calculation | 229 | Shall limit the benefit amount to the OCERS defined maximum and provide a view reflecting what was limited |
| Benefit Calculation | 230 | Shall flag account if benefit amount was limited to OCERS defined maximum |
| Benefit Calculation | 231 | Shall notify recipient(s) in conjunction with a new retirement that provides initial benefit amount and general retirement information (e.g., award letter should provide: final average salary, benefit amount, measuring period dates, CEO determination language) |
| Benefit Calculation | 232 | Shall provide a view reflecting pensionable enhancements to final average salary (e.g. vacation hours included, sick leave hours included, holiday comp hours included, safe harbor amounts, pay period pay rate changes, Investment Incentive Salary Percent [IISP]) |
| Benefit Calculation | 233 | Shall provide a view reflecting missing pay periods the system added within final average salary measuring period |
| Benefit Calculation | 234 | Shall add and prorate missing pay period earnable base pay for any pay period missing within final average salary measuring period |
| Benefit Calculation | 235 | Shall provide a view reflecting missing pay hours the system added within final average salary measuring period |
| Benefit Calculation | 236 | Shall add and prorate missing pay hours earnable base pay for any pay period missing within final average salary measuring period |
| Benefit Calculation | 237 | Shall provide a view reflecting service credits and hours submitted by employer broken down by year and a separate view of any pay periods exceeding required hours as defined by employer job class |
| Benefit Calculation | 238 | Shall provide the ability for user to select between a 1-year or 3-year measuring period |
| Benefit Calculation | 239 | Shall provide a view that enables user to select a specific pay item or group of pay items in which the system would display a pay period by pay period listing of the amounts of hours and dollars paid to a member during the measuring period for said pay item or group of pay items |
| Benefit Calculation | 240 | Shall provide a summary or detailed view reflecting the calculation of interest due or payable for overpayment or underpayment for a benefit recalculation |
| Benefit Calculation | 241 | Shall provide a summary or detailed view reflecting the re-calculation of a member’s benefit (including any dependent calculations e.g. DRO and survivor). |
| Benefit Estimate | 242 | Shall utilize the same benefit calculation module for benefit estimates, web self-service, and final benefit calculations. |
| Benefit Estimate | 243 | Shall save the parameters used to calculate each benefit estimate when the estimate is saved. |
| Benefit Estimate | 244 | Shall allow the user to modify previous estimates, creating a new estimate that applies any new data received by OCERS while maintaining the history of prior estimates. |
| Benefit Estimate | 245 | Shall allow user to override benefit estimate parameters (e.g., service credit, retirement date, measuring period) and use the override to calculate the benefit estimate |
| Benefit Estimate | 246 | Shall provide the user with the ability to enter additional base plan service for estimation purposes only. |
| Benefit Estimate | 247 | Shall allow the user to name the benefit estimate. |
| Benefit Estimate | 248 | Shall pre-populate the estimate calculation with real-time data and store as the basis for subsequent benefit estimates |
| Benefit Estimate | 249 | Shall incorporate beneficiary information when calculating the benefit estimate. |
| Benefit Estimate | 250 | Shall generate benefit estimate results in a standardized correspondence format (e.g. PDF) with the option of printing only summary or detail information |
| Benefit Estimate | 251 | Shall provide a view of all benefit estimates completed for a future retiree, with options to print either summary or detailed information. |
| Benefit Estimate | 252 | Shall provide a view of a member's completed benefit estimates, including the calculation details, completion date, the party who completed it (OCERS or member), the unique estimate number, estimate name, and parameters used. |
| Benefit Estimate | 253 | Shall provide a view of archived benefit estimates in both summary and detailed formats. |
| Benefit Estimate | 254 | Shall inform the user entering the benefit estimate of any conditions they should be aware of, such as withdraw service credit that can be repurchased or specific account status (e.g., inactive, withdraw (refunded), retired, concurrent) as defined by OCERS. |
| Benefit Estimate | 255 | Shall generate benefit estimates including all payment options per OCERS business rules. |
| Benefit Estimate | 256 | Shall allow the member to choose whether or not to save a benefit estimate. |
| Benefit Estimate | 257 | Shall provide batch processing of benefit estimates by specific groupings (e.g., employer group, series of SSNs, specific OCERS IDs) and generate Benefit Summaries for each member as defined by OCERS. |
| Benefit Estimate | 258 | Shall provide the ability to link to a retirement application to all benefit estimates. |
| Benefit Estimate | 259 | Shall provide the option to include a federal tax estimate (e.g., percentage or flat rate) and reflect the result in a "net" benefit estimate. |
| Benefit Estimate | 260 | Shall provide the option to include the current California state tax rate (e.g., percentage or flat rate) and reflect the result in a "net" benefit estimate. |
| Benefit Estimate | 261 | Shall provide the option to include miscellaneous or other deductions and reflect the result in a "net" benefit estimate. |
| Benefit Estimate | 262 | Shall provide ability to include pre-defined comments or configurable comments to the member on benefit estimates |
| Benefit Estimate | 263 | Shall provide the ability to calculate estimated survivor benefits for all options |
| Benefit Estimate | 264 | Shall provide the ability for OCERS to select the projected salary to be used in the estimate (e.g., Final Average Salary, current salary, average over a specified number of months). |
| Benefit Estimate | 265 | Shall provide the ability to perform benefit estimates for all types of benefits (e.g., disability, multiple retirements, early retirement, normal retirement, deferred retirement, survivor, death benefits). |
| Benefit Estimate | 266 | Shall provide the ability to include an application for the purchase of service with all benefit estimates, as specified by OCERS. |
| Benefit Estimate | 267 | Shall provide the ability to enter a series of SSNs or OCERS IDs, which shall generate Counseling Correspondence for each member. |
| Benefit Estimate | 268 | Shall provide the ability for OCERS to generate or print benefit estimates for a single member, for all members, or for groups of members based on criteria such as employer, department, job class, plan type (e.g., general, safety, segregated, base), account status (e.g., active, inactive, seasonal), or any combination of these. |
| Benefit Estimate | 269 | Shall provide a view that displays a combination of the payroll records selected for the final average salary calculation along with details of how the benefit estimate was calculated. |
| Benefit Estimate | 270 | Shall send the benefit estimate to the requestor via their preferred communication method. |
| Benefit Estimate | 271 | Shall provide the ability to include and calculate other pay items in the benefit estimate based on OCERS business rules. |
| Benefit Estimate | 272 | Shall provide the ability to calculate option #4 and provide a view of the calculation that can be provided to the actuary for approval. |
| Benefit Estimate | 273 | Shall allow users to input variables (e.g. retirement date, final average salary, years of service) and other relevant data and provide real-time calculation of benefit estimates |
| Benefit Estimate | 274 | Shall accommodate complex benefit formulas, including tiered plans, benefit caps, and cost-of-living adjustments (COLAs). |
| Benefit Estimate | 275 | Shall account for eligibility rules, and plan-specific requirements (e.g., retirement age thresholds and reductions for early retirement) in all calculations. |
| Benefit Estimate | 276 | Shall allow estimates to factor in optional deductions (e.g. health insurance premiums, survivor benefits, tax withholdings) |
| Benefit Estimate | 277 | Shall support benefit estimates for both active and deferred members |
| Benefit Estimate | 278 | Shall allow for benefit estimate recalculations when changes are made to input variables |
| Benefit Estimate | 279 | Shall include functionality to project future service and salary growth for benefit estimation purposes. |
| Benefit Estimate | 280 | Shall allow for configurable “what-if” scenarios, enabling users to modify inputs like future salary increases or service purchases |
| Benefit Estimate | 281 | Shall provide benefit estimates that reflect applicable benefit offsets, reductions, or enhancements (e.g., for reemployment provisions, reciprocal service, DROs). |
| Benefit Estimate | 282 | Shall provide a unique identifier to each benefit estimate. |
| Benefit Estimate | 283 | Shall provide a view displaying the calculation of a benefit calculation that reflect applicable benefit offsets, reductions, or enhancements (e.g., for reemployment provisions, reciprocal service, DROs). |
| Cash Receipts | 284 | Shall process a members pre and post-tax contribution receipts for any payment type |
| Cash Receipts | 285 | Shall provide the ability to receive or retrieve all payments for all cash receipt types from financial application (e.g., check payments, credit card, or ACH) including all payment details (e.g., pre-tax, post-tax, fund). |
| Cash Receipts | 286 | Shall provide the ability to view previous cash receipts from all groups (e.g., by plan and rate group, bank, agency, member, other institution). |
| Cash Receipts | 287 | Shall provide the ability to view both member and employer cash receipts data by plan and rate group and shall provide roll-ups as necessary. |
| Cash Receipts | 288 | Shall provide the ability to manually allocate full and partial payment amounts against one or more accounts receivables, as defined by OCERS. |
| Cash Receipts | 289 | Shall provide the ability to automatically reverse all transactions associated with a cash receipt (e.g., bad check, refunded cash receipt). |
| Cash Receipts | 290 | Shall provide the ability to default the cash receipt transaction date (e.g., today’s date). |
| Cash Receipts | 291 | Shall automatically notify an entity or individual with a configurable notification of an underpayment or overpayment based on parameters defined by OCERS. |
| Cash Receipts | 292 | Shall generate a workflow for funds that are received when a receivable does not exist. |
| Cash Receipts | 293 | Shall provide reason and reason codes for cash receipts underpayments and overpayments. |
| Cash Receipts | 294 | Shall provide the ability for the cash receipt details to be overridden as defined by OCERS with appropriate security controls. |
| Conversion and Bridging | 295 | Shall co-develop a data migration plan with OCERS or the data services vendor that ensures the integrity and validity of all data, and allows OCERS to continue daily operations. |
| Conversion and Bridging | 296 | Shall provide back-bridging for each phased release, ensuring that data from the new solution is formatted and delivered in a manner that allows it to be merged back into the existing Pension Administration System. |
| Conversion and Bridging | 297 | Shall be responsible for all data migration from the target staging database. |
| Conversion and Bridging | 298 | Shall provide OCERS and/or the data services vendor with all database schema, data dictionary and other information necessary to populate target staging database. |
| Conversion and Bridging | 299 | Shall develop appropriate controls to ensure that converted and bridged data is accurate and complete. |
| Conversion and Bridging | 300 | Shall develop mock conversion for reconciliation efforts. |
| Conversion and Bridging | 301 | Shall provide a comprehensive data conversion strategy (e.g., data extraction, transformation, loading (ETL), validation, reconciliation). |
| Conversion and Bridging | 302 | Shall ensure all historical and current data (e.g., member records, employer records, contribution histories, benefit calculations) are accurately converted. |
| Conversion and Bridging | 303 | Shall support data mapping from the legacy system to the new Pension Administration System (e.g., field transformations, format adjustments). |
| Conversion and Bridging | 304 | Shall accommodate the conversion of structured data (e.g., database records) and unstructured data (e.g., scanned documents, PDFs, and notes). |
| Conversion and Bridging | 305 | Shall support the cleansing and deduplication of legacy data to improve data integrity before migration. |
| Conversion and Bridging | 306 | Shall document all conversion processes (e.g., source-to-target mapping, transformation rules, validation procedures). |
| Conversion and Bridging | 307 | Shall provide a rollback plan in case of critical errors during conversion. |
| Conversion and Bridging | 308 | Shall extract all relevant data from the legacy system(s) (e.g., member details, benefit elections, service credits, payroll data, contribution histories). |
| Conversion and Bridging | 309 | Shall transform extracted data to align with the data model of the new PAS while preserving accuracy and completeness. |
| Conversion and Bridging | 310 | Shall allow for custom data transformation rules to address legacy system differences. |
| Conversion and Bridging | 311 | Shall handle data format standardization (e.g., date formats, currency conversions, and text encoding). |
| Conversion and Bridging | 312 | Shall support automated and manual data transformations as needed. |
| Conversion and Bridging | 313 | Shall provide automated data validation checks to identify and flag anomalies, missing values, and inconsistencies. |
| Conversion and Bridging | 314 | Shall allow pension administrators to review and approve converted data before final migration. |
| Conversion and Bridging | 315 | Shall support side-by-side data comparisons between the legacy and new system for validation purposes. |
| Conversion and Bridging | 316 | Shall generate detailed reconciliation reports, including error logs and correction recommendations. |
| Conversion and Bridging | 317 | Shall ensure that all financial and benefit-related data is accurately converted and fully reconciled, with all balances matching expected values following the data conversion process. |
| Conversion and Bridging | 318 | Shall support an iterative validation approach, allowing for multiple test conversions before final go-live. |
| Conversion and Bridging | 319 | Shall provide a bridging mechanism to maintain data synchronization between the legacy system and the new PAS during parallel operations. |
| Conversion and Bridging | 320 | Shall allow the legacy and new system to operate in parallel during the transition period to ensure a smooth cutover. |
| Conversion and Bridging | 321 | Shall support real-time or scheduled data exchanges between the old and new systems to maintain up-to-date records. |
| Conversion and Bridging | 322 | Shall enable users to query both legacy and new system data during the bridging phase. |
| Conversion and Bridging | 323 | Shall allow for a phased migration approach, where different modules or member groups are transitioned gradually. |
| Conversion and Bridging | 324 | Shall provide continued access to historical data from the legacy system, either through direct integration, a separate archive, or data import into the PAS. |
| Conversion and Bridging | 325 | Shall allow pension administrators to retrieve legacy records without requiring users to log into multiple systems. |
| Conversion and Bridging | 326 | Shall support long-term archiving of historical pension data in a secure and searchable format. |
| Conversion and Bridging | 327 | Shall provide an audit trail of all converted data (e.g., timestamps, responsible personnel). |
| Conversion and Bridging | 328 | Shall define a structured data cutover plan, including data freeze periods, final conversions, and verification steps. |
| Conversion and Bridging | 329 | Shall provide real-time data monitoring and support during the cutover phase to quickly resolve issues. |
| Conversion and Bridging | 330 | Shall ensure all converted data is verified and signed off before the new system goes live. |
| Conversion and Bridging | 331 | Shall allow rollback to the legacy system if critical errors are detected post-migration. |
| Conversion and Bridging | 332 | Shall validate that all data converted from the legacy system is accurate, complete, and correctly mapped. |
| Conversion and Bridging | 333 | Shall include reconciliation reports comparing legacy and new system data to identify discrepancies. |
| Conversion and Bridging | 334 | Shall perform multiple rounds of conversion testing before final data migration. |
| Conversion and Bridging | 335 | Shall provide an audit trail of all converted data, including transformation rules and validation steps. |
| Conversion and Bridging | 336 | Shall assist in providing converted data to support User Acceptance Testing efforts. |
| Customer Relationship Management | 337 | Shall provide the ability for a customer to be authenticated prior to agent releasing any information |
| Customer Relationship Management | 338 | Shall provide the ability to store all customer interactions across different channels (e.g. phone, email, chat, social media) in a single customer profile, giving agents a 360-degree view of the customer |
| Customer Relationship Management | 339 | Shall provide the ability to provide real-time chat functionality to different stakeholders based on agency determined availability |
| Customer Relationship Management | 340 | Shall provide ability to automate basic customer service responses without human intervention |
| Customer Relationship Management | 341 | Shall provide agents access to past interactions in real-time, regardless of the channel |
| Customer Relationship Management | 342 | Shall provide the ability to suggest actions during a customer interaction |
| Customer Relationship Management | 343 | Shall provide the ability for call agent to co-browse and/or view with customer through self service |
| Customer Relationship Management | 344 | Shall provide the ability to automatically route customer inquiries to the most appropriate agent based on the agent's skills, availability or customer history regardless of channel (e.g. email, phone, chat) |
| Customer Relationship Management | 345 | Shall provide the ability for customer to go between channels (e.g., moving from chat to phone) without losing context or requiring customer to repeat information |
| Customer Relationship Management | 346 | Shall provide real-time access to internal and external OCERS knowledge bases |
| Customer Relationship Management | 347 | Shall provide the ability to set-up a follow-up date for a contact |
| Customer Relationship Management | 348 | Shall provide activity log (view) with detail and notes for each user (e.g., open, closed, follow-up needed) |
| Customer Relationship Management | 349 | Shall launch and initiate a workflow when follow-up action is needed for a member/contact |
| Customer Relationship Management | 350 | Shall enable OCERS to create contact records that include call notes for people and organizations who call but are not in the database and associate to another contact |
| Customer Relationship Management | 351 | Shall provide ability to add templated responses for common queries to assist agents with quick and consistent resolution of issues |
| Customer Relationship Management | 352 | Shall integrate with OCERS phone and IVR System to automatically display member's record to call center rep (e.g. if caller enters their SSN or OCERS ID on their phone keypad and/or based on caller's phone number) |
| Customer Relationship Management | 353 | Shall provide reporting on users performance based on key performance indicators (e.g. time to respond, first call resolution, average handling time, agent performance and interaction patterns across all channels) |
| Customer Relationship Management | 354 | Shall integrate staff calendar for scheduling appointments and automatically link to the member or employer record when appropriate |
| Customer Relationship Management | 355 | Shall provide standard views of scheduled counseling activities, seminars, and workshops |
| Customer Relationship Management | 356 | Shall provide the ability to enroll contact in meetings, seminars, workshops |
| Customer Relationship Management | 357 | Shall provide the ability to integrate with the IVR to initiate outbound calls from the internal solution and capture the reason for the call, the number called, the time called, plus any notes entered prior to making the call. |
| Customer Relationship Management | 358 | Shall provide a view of historical activity records per OCERS defined parameters (e.g. by a date range, by type, for an employer, member or user |
| Customer Relationship Management | 359 | Shall provide the ability to block users from initiating chat |
| Customer Relationship Management | 360 | Shall provide the ability to categorize chats whether live or AI assisted |
| Customer Relationship Management | 361 | Shall provide the ability to route new chats (e.g. round robin, next available, skill set, category, group, individual user) |
| Customer Relationship Management | 362 | Shall provide the ability to set up an organization's users into groups |
| Customer Relationship Management | 363 | Shall provide the ability to reassign an existing chat to a different user or group |
| Customer Relationship Management | 364 | Shall provide the ability to record the chat session |
| Customer Relationship Management | 365 | Shall provide the ability to utilize video with the chat session |
| Customer Relationship Management | 366 | Shall provide the ability to schedule a chat |
| Customer Relationship Management | 367 | Shall provide the ability to provide real time integration with translation software |
| Customer Relationship Management | 368 | Shall provide the ability for a manager to monitor individual staff chat sessions |
| Customer Relationship Management | 369 | Shall provide the ability for an organization's user to request help (escalate) a chat |
| Customer Relationship Management | 370 | Shall provide reporting on number of chats, chat categories, new users, length of time of chat, by group |
| Customer Relationship Management | 371 | Shall provide the ability for managers to see real-time chat activity (e.g. chats in queue) |
| Customer Relationship Management | 372 | Shall provide the ability to request surveys to determine customer service quality post interaction |
| Customer Relationship Management | 373 | Shall provide the ability for a single organizational user to chat with multiple end users |
| Customer Relationship Management | 374 | Shall provide the ability to have the chat functionality on a mobile device |
| Customer Relationship Management | 375 | Shall provide the ability to capture the reason for the inbound call |
| Customer Relationship Management | 376 | Shall provide the ability to route new calls (e.g. round robin, next available, skill set, category) |
| Customer Relationship Management | 377 | Shall provide the ability for a user to place themselves "out-of-office" for any period of time (e.g. hour, half day, full day, extended period) |
| Customer Relationship Management | 378 | Shall provide the ability to provide quality assurance capabilities for monitoring, scoring and reporting stakeholder interactions and transactions by user |
| Customer Relationship Management | 379 | Shall provide a centralized repository for creating, managing, and tracking all cases. |
| Customer Relationship Management | 380 | Shall assign a unique identifier to each case (e.g. death processing, disability) |
| Customer Relationship Management | 381 | Shall support the creation of configurable case types (e.g. general inquiry, retirement processing, disability claims, service credit purchase) with configurable workflows based on OCERS defined rules |
| Customer Relationship Management | 382 | Shall support the ability to change case types to initiate specific case type workflows (e.g. a case that starts as a general inquiry may lead to a service credit purchase, a retirement application). |
| Customer Relationship Management | 383 | Shall allow real-time monitoring of case statuses (e.g., open, pending, closed) with automated updates on case progress. |
| Customer Relationship Management | 384 | Shall enable the creation and management of sub-cases or sub-processes for workflows based on OCERS defined rules |
| Customer Relationship Management | 385 | Shall provide automatic case routing based on predefined rules or user assignment. |
| Customer Relationship Management | 386 | Shall support automated escalation of cases based on predefined timelines or triggers, (e.g. inactivity, time period or SLA breaches) |
| Customer Relationship Management | 387 | Shall include integrated communication tools (e.g., email, messaging) within the case management interface. |
| Customer Relationship Management | 388 | Shall allow users to add notes, comments, and attachments to cases, with tagging and search functionality. |
| Customer Relationship Management | 389 | Shall provide real-time notifications via preferred communication method to members regarding case updates, approvals, or required actions |
| Customer Relationship Management | 390 | Shall maintain a complete and immutable audit trail of all case history (e.g. activities, updates, and communications). |
| Customer Relationship Management | 391 | Shall allow the import, archiving, and retrieval of historical case records for reference and compliance. |
| Customer Relationship Management | 392 | Shall support integration with other systems. |
| Customer Relationship Management | 393 | Shall provide advanced search functionality with filters (e.g. case type, status, date, assigned user) |
| Customer Relationship Management | 394 | Shall include configurable views to track and monitor cases (e.g. case volume, resolution times, case trends, case metrics, SLA compliance) |
| Customer Relationship Management | 395 | Shall track and record all interactions with members related to a case. |
| Customer Relationship Management | 396 | Shall integrate with users self-service portals to allow submission of documents, track case progress, view case notes, and communicate with OCERS staff |
| Customer Relationship Management | 397 | Shall support predictive analytics to identify potential case management delays, bottlenecks, or issues. |
| Customer Relationship Management | 398 | Shall monitor SLAs to ensure cases are addressed within required timeframes. |
| Customer Relationship Management | 399 | Shall provide configurable functionality to prioritize cases based on urgency, complexity, or member status |
| Customer Relationship Management | 400 | Shall allow critical or time-sensitive cases to be flagged for expedited processing. |
| Customer Relationship Management | 401 | Shall support internal team collaboration through case notes, comments, messaging (with ability to save or not) and/or task delegation. |
| Customer Relationship Management | 402 | Shall allow case updates to be shared with multiple stakeholders within the system. |
| Customer Relationship Management | 403 | Shall allow intelligent case routing to appropriate staff or groups based on OCERS-defined rules. |
| Customer Relationship Management | 404 | Shall provide a centralized CRM and Contact Center module to manage all interactions, including inquiries, service requests, and case management. |
| Customer Relationship Management | 405 | Shall support configurable workflows for tracking and managing interactions across multiple communication channels. |
| Customer Relationship Management | 406 | Shall provide a unified interface for users and agents to access member records, case histories, and communication logs in real-time. |
| Customer Relationship Management | 407 | Shall allow users to associate multiple cases, documents, and interactions with a single member record. |
| Customer Relationship Management | 408 | Shall provide a 360-degree view of each member, including account details, previous interactions, service history, and communication preferences. |
| Customer Relationship Management | 409 | Shall provide configurable role-based access controls to restrict access to sensitive member information based on user roles. |
| Customer Relationship Management | 410 | Shall support omnichannel communication, including phone, email, chat, SMS, web portals, and physical mail tracking. |
| Customer Relationship Management | 411 | Shall allow users to define and update their preferred communication methods via a self-service portal. |
| Customer Relationship Management | 412 | Shall provide secure messaging capabilities for users to communicate with pension administrators. |
| Customer Relationship Management | 413 | Shall support automated notifications, alerts, and correspondence based on predefined events, transactions, or system updates. |
| Customer Relationship Management | 414 | Shall integrate with telephony systems to log and manage call interactions, including inbound and outbound calls and IVR self-service options. |
| Customer Relationship Management | 415 | Shall provide predefined and ad-hoc email templates for standard member or payee communications. |
| Customer Relationship Management | 416 | Shall allow bulk email and SMS communications to targeted member segments, ensuring compliance with opt-in and opt-out preferences. |
| Customer Relationship Management | 417 | Shall provide configurable case management workflows to track and resolve member or payee inquiries and service requests. |
| Customer Relationship Management | 418 | Shall support case categorization, prioritization, escalation, and service-level agreements (SLAs) to define response and resolution times. |
| Customer Relationship Management | 419 | Shall allow tracking, reassignment, and escalation of cases between departments and staff. |
| Customer Relationship Management | 420 | Shall provide automated reminders and notifications for pending or overdue cases. |
| Customer Relationship Management | 421 | Shall automatically create cases for unresolved inquiries and escalate them to the appropriate department if needed. |
| Customer Relationship Management | 422 | Shall allow pension administrators to link related cases for better resolution tracking. |
| Customer Relationship Management | 423 | Shall integrate with the member self-service portal to allow members to submit inquiries, track case status, update contact information, and set communication preferences. |
| Customer Relationship Management | 424 | Shall provide a knowledge base and FAQs for self-service assistance. |
| Customer Relationship Management | 425 | Shall enable users to schedule appointments or request call-backs with pension administrators via an online scheduling tool. |
| Customer Relationship Management | 426 | Shall support real-time chat or chatbot capabilities for self-service assistance before routing to a live agent. |
| Customer Relationship Management | 427 | Shall maintain a comprehensive history of all user interactions, including timestamps, communication type, resolution status, and agent notes. |
| Customer Relationship Management | 428 | Shall allow pension administrators to add detailed notes to member records and case files. |
| Customer Relationship Management | 429 | Shall provide role-based access to interaction histories to ensure authorized personnel can view relevant details. |
| Customer Relationship Management | 430 | Shall support tagging and searching within interaction history to quickly retrieve relevant cases and communications. |
| Customer Relationship Management | 431 | Shall allow attachments, such as scanned documents and email correspondences, to be linked to specific cases and member records. |
| Customer Relationship Management | 432 | Shall support automated call distribution (ACD) with intelligent routing based on agent skills, availability, and priority levels. |
| Customer Relationship Management | 433 | Shall allow configurable call queues with options for priority escalation based on wait time, case urgency, or member tier. |
| Customer Relationship Management | 434 | Shall provide call recording functionality for quality assurance and training purposes, with easy retrieval and review. |
| Customer Relationship Management | 435 | Shall allow supervisors to monitor live calls and provide real-time coaching via whisper or barge-in capabilities. |
| Customer Relationship Management | 436 | Shall provide multiple methods for verifying identity, including knowledge-based authentication, multi-factor authentication, and security questions. |
| Customer Relationship Management | 437 | Shall allow integration with identity management and biometric authentication solutions for secure user verification. |
| Customer Relationship Management | 438 | Shall include a searchable knowledge base with FAQs, standard operating procedures, and guided scripts for agents. |
| Customer Relationship Management | 439 | Shall provide suggested responses or articles based on the context of a member’s inquiry. |
| Customer Relationship Management | 440 | Shall support AI-powered chatbots to assist with basic inquiries before routing to a live agent. |
| Customer Relationship Management | 441 | Shall provide a centralized Customer Communications Management (CCM) system to create, manage, personalize, and distribute member, payee or employer communications. |
| Customer Relationship Management | 442 | Shall support multi-channel delivery, including email, SMS, print and mail, web portals, and IVR. |
| Customer Relationship Management | 443 | Shall allow configurable and personalization of communications based on predefined rules and templates. |
| Customer Relationship Management | 444 | Shall support dynamic data merging to personalize letters, statements, and notifications using member-specific data which generates in a mailable format (e.g., address fits proper window envelope formats). |
| Customer Relationship Management | 445 | Shall maintain opt-in and opt-out preferences for electronic communications and ensure compliance with member or payee defined communication preferences. |
| Customer Relationship Management | 446 | Shall provide tracking and logging of sent communications, including delivery confirmation where available. |
| Customer Relationship Management | 447 | Shall integrate with document management systems for secure storage, retrieval, and access to sent communications. |
| Customer Relationship Management | 448 | Shall generate documents in standard formats such as PDF, HTML, and text for accessibility. |
| Customer Relationship Management | 449 | Shall support batch document generation and on-demand document requests. |
| Customer Relationship Management | 450 | Shall support automated generation and distribution of benefit adjustment notices, tax-related notices, and other mandatory communications. |
| Customer Relationship Management | 451 | Shall provide real-time dashboards displaying key member service and contact center metrics, including call volume, response times, and case resolution rates. |
| Customer Relationship Management | 452 | Shall allow ad-hoc reporting and configurable dashboards for tracking service trends, inquiries, and case backlog. |
| Customer Relationship Management | 453 | Shall support sentiment analysis of interactions to measure satisfaction and identify service improvement areas. |
| Customer Relationship Management | 454 | Shall provide tools for supervisors to evaluate agent performance and adherence to service-level agreements (SLAs). |
| Customer Relationship Management | 455 | Shall integrate seamlessly with the core Pension Administration System to allow real-time retrieval and updates of member and payee records. |
| Customer Relationship Management | 456 | Shall support integration with Customer Relationship Management (CRM) software for advanced case management. |
| Customer Relationship Management | 457 | Shall integrate with third-party workforce management tools to optimize staffing and scheduling. |
| Customer Relationship Management | 458 | Shall support integration with external document management systems for retrieving and attaching relevant documents to cases. |
| Death Processing | 459 | Shall provide the ability to track and view status of receipt of required documents to process a death |
| Death Processing | 460 | Shall provide that death notification entries made by OCERS be immediately visible to all authorized staff. |
| Death Processing | 461 | Shall generate an automated notification to the primary beneficiary upon receipt of a death notification, provided primary beneficiary information is available. |
| Death Processing | 462 | Shall provide the ability to track and follow up on outstanding required documentation necessary to process death benefits. |
| Death Processing | 463 | Shall automatically suspend all benefit payments associated with the deceased benefit recipient upon notification of death. |
| Death Processing | 464 | Shall automatically initiate a request for the return of any ineligible payments issued after the death of the benefit recipient and configurable follow up cycles that end upon collection of ineligible payments. |
| Death Processing | 465 | Shall generate and track reminder notifications to the survivor for outstanding required documents, such as death certificates, forms, or additional information. |
| Death Processing | 466 | Shall determine eligibility for benefits for deferred members based on OCERS business rules (e.g. eligible to retire, not eligible to retire) |
| Death Processing | 467 | Shall automatically populate survivor information from existing system data (e.g. retirement type, OCERS Identification Number (OID), first, middle, and last names). |
| Death Processing | 468 | Shall calculate continuance benefits (survivorship benefits) for all payment types in accordance with plan rules. |
| Death Processing | 469 | Shall calculate survivor and/or beneficiary death benefits based on OCERS business rules (e.g. burial benefits, lump-sum payments, return of contributions). |
| Death Processing | 470 | Shall provide the ability to link all beneficiary accounts to the original member account. |
| Death Processing | 471 | Shall automatically create a beneficiary account based on information provided at the time of retirement. |
| Death Processing | 472 | Shall allow the system to distribute payments to multiple beneficiaries from a single account, supporting different payment types (e.g. rollover, lump sum). |
| Death Processing | 473 | Shall allow for recording and processing the death of a survivor. |
| Death Processing | 474 | Shall provide the ability to designate a new spouse in cases where the previous spouse is deceased. |
| Death Processing | 475 | Shall allow for the setup and management of beneficiary splits based on percentage allocations. |
| Death Processing | 476 | Shall validate eligibility for the line-of-duty public safety officer lump-sum death benefit based on OCERS business rules. |
| Death Processing | 477 | Shall calculate the beneficiary’s benefit in accordance with the plan rules for line-of-duty public safety officer benefits. |
| Death Processing | 478 | Shall capture, update, and display annuitant details for a retiring or retired member (e.g. name, SSN, address, benefit amount or percentage) payable upon the retiree’s death. |
| Death Processing | 479 | Shall process separate death benefits with different processing rules (e.g. different elections, different effective dates) for members receiving multiple monthly benefit payments. |
| Death Processing | 480 | Shall allow for the payment of benefits due to a deceased member to a survivor or beneficiary when the deceased had a prior retirement or suspended annuity. |
| Death Processing | 481 | Shall enable OCERS to reverse a death entry made in error and reinstate a payroll record without disrupting monthly payments or issuing unintended payments for prior periods. |
| Death Processing | 482 | Shall automatically notify the survivor or beneficiary of any pending payments following a member’s death. |
| Death Processing | 483 | Shall display a payment summary and detailed breakdown of each benefit disbursement (e.g. retirement, disability, death payments). |
| Death Processing | 484 | Shall provide the ability to automatically generate a payment to the beneficiary when there is a remaining balance greater than the total benefits paid to date. |
| Death Processing | 485 | Shall provide a view of accounts receivable for survivor benefits paid post-death. |
| Death Processing | 486 | Shall automatically process accounts receivable transactions for benefit overpayments to facilitate the recovery process upon entry of Date of Death of a member. |
| Death Processing | 487 | Shall calculate legal orders (e.g. DROs, child support, and other mandated deductions) from the benefits when applicable |
| Death Processing | 488 | Shall interface with third-party services for death verification (e.g. CLEAR, LexisNexis, Ideology, Socure) and include relevant attributes (e.g. name, SSN, date of birth, address of the member, retiree, and beneficiary). |
| Death Processing | 489 | Shall not allow the selection of a lifetime annuity option for a beneficiary unless the spouse explicitly waives their right. |
| Death Processing | 490 | Shall allow for the handling and processing of benefit waivers from a spouse or beneficiary. |
| Death Processing | 491 | Shall automatically create a survivor or dependent annuitant pension payroll record immediately upon confirmation of a member’s death, where appropriate. |
| Death Processing | 492 | Shall provide the ability to set the appropriate employment status when the member is noted as deceased |
| Death Processing | 493 | Shall automatically initiate a workflow to terminate and close a pending service purchase transactions when a death is recorded. |
| Death Processing | 494 | Shall allow designated disability survivor benefits to be marked as tax-exempt for groups defined by OCERS. |
| Death Processing | 495 | Shall automatically reverse and credit tax and insurance payments based on OCERS business rules. |
| Death Processing | 496 | Shall provide the ability to automatically generate an invoice for the recovery of overpaid taxes upon entry of Date of Death on a member. |
| Death Processing | 497 | Shall automatically notify beneficiaries regarding the repayment of prior-year taxes based on OCERS business rules. |
| Death Processing | 498 | Shall provide the ability to automatically refund contributions for employees who did not attain OCERS eligibility status prior to death. |
| Death Processing | 499 | Shall provide the ability to automatically credit the employer for contributions made on behalf of a member who did not attain OCERS eligibility status prior to death. |
| Death Processing | 500 | Shall provide the ability to issue payments to one or more beneficiaries before all beneficiary forms have been received. |
| Death Processing | 501 | Shall provide the ability to automatically suspend web self-service access upon notification of death |
| Death Processing | 502 | Shall provide the ability for the system to automatically calculate a remaining balance in the event of member death |
| Death Processing | 503 | Shall automatically redistribute pension amounts to remaining dependent children when one of the dependent children reaches age 18 or 22 (in school) or marries, depending upon the applicable rule |
| Death Processing | 504 | Shall automatically terminate benefits to a dependent child upon individual reaching age 18 or 22 (in school) or marries, whichever comes first, depending upon the applicable rule |
| Death Processing | 505 | Shall notify the guardian of a dependent child configurable amount of time (x amount of time) before benefits are terminated due to their eligibility (e.g., age, student status) |
| Death Processing | 506 | Shall provide the ability to record and track deaths (e.g. including date of death, source of notification, supporting documentation). |
| Death Processing | 507 | Shall allow for the manual override of payment suspensions with appropriate authorization. |
| Death Processing | 508 | Shall provide a mechanism to validate and reconcile death notifications from multiple sources. |
| Death Processing | 509 | Shall allow authorized users to reinstate pension benefits if a death notification is determined to be erroneous. |
| Death Processing | 510 | Shall enable tracking and processing of survivor benefits, including eligibility determination and benefit calculations. |
| Death Processing | 511 | Shall allow for the setup and management of death benefits (e.g. lump-sum payments, continuation payments, refund processing). |
| Death Processing | 512 | Shall support configurable rules for survivor benefit eligibility based on plan provisions. |
| Death Processing | 513 | Shall integrate with financial systems to facilitate refunds, overpayment recoveries, and benefit payments to survivors. |
| Death Processing | 514 | Shall allow for bulk processing of death records when received from external agencies. |
| Death Processing | 515 | Shall provide compliance tracking and reporting to ensure adherence to legal and regulatory requirements related to death processing. |
| Death Processing | 516 | Shall provide a view to see all open death processing cases, filtered by OCERS defined parameters. |
| Death Processing | 517 | Shall automatically request proof of life verification or members/survivors/payee of a configurable age or residency with scheduled follow up notices prior to suspension of benefit. |
| Death Processing | 518 | Shall provide the ability to split a secondary application benefit and calculate the applicable tertiary beneficiary(ies) payment amount/setup based upon beneficiary percentage designated in the system. |
| Disability Benefits | 519 | Shall track the status of a disability application, disability appeal, disability review, and final cases decisions from its inception until its completion. |
| Disability Benefits | 520 | Shall provide a hierarchy of status codes to inform OCERS of the status of the overall disability application to be defined by OCERS. |
| Disability Benefits | 521 | Shall validate that all required disability documents are received before processing application |
| Disability Benefits | 522 | Shall validate that the member meets the disability eligibility requirements (e.g., type of disability, service credits) |
| Disability Benefits | 523 | Shall automatically generate a view identifying disability applications and cases to be included in the monthly board retirement agenda and annual report. |
| Disability Benefits | 524 | Shall notify the member and employer(s) of important disability application changes based on OCERS critical statuses via the member and employer portal. |
| Disability Benefits | 525 | Shall automatically generate and send a follow-up correspondence regarding non-receipt of independent medical examiner (IME) reports if not summited timely based on OCERS business rules. |
| Disability Benefits | 526 | Shall provide the ability for OCERS to suspend disability payments per OCERS business rules. |
| Disability Benefits | 527 | Shall calculate or recalculate estimates, benefits and the options available for all disabilities |
| Disability Benefits | 528 | Shall gather information from the system to generate a summary disability application "Case Breakdown". (e.g., date of application, type of member, years of services or other fields as defined by OCERS) |
| Disability Benefits | 529 | Shall provide the ability to reverse suspension of disability benefits |
| Disability Benefits | 530 | Shall provide the ability to automatically compute and generate catch-up payment |
| Disability Benefits | 531 | Shall provide the ability to produce correspondence upon notification of excess earnings, the amount of the benefit reduction, and options for how to pay or reimburse OCERS for any overpayment and interest as set by OCERS Overpayment Policy. |
| Disability Benefits | 532 | Shall provide the ability to generate the appropriate correspondences based on time parameters for each disability status (e.g., reinstatement, disability application received, submitted to board) |
| Disability Benefits | 533 | Shall notify member acknowledging receipt of appeal |
| Disability Benefits | 534 | Shall provide the ability to generate a view showing history (e.g., type, date received, date presented to review committee, decision, and date presented to Board of Trustees to be defined by OCERS) based on OCERS defined parameters |
| Disability Benefits | 535 | Shall provide the ability to identify members who have not responded to OCERS request for additional medical information and ability to generate correspondence requesting information |
| Disability Benefits | 536 | Shall provide the ability to receive and record information from workers comp, workers comp insurance, and personal injury sources. |
| Disability Benefits | 537 | Shall provide the ability to note disability payments as tax exempt |
| Disability Benefits | 538 | Shall calculate retroactive, active and future payments once disability is approved including any applicable recalculations due to retirement based OCERS business rules (e.g. Advanced Disability). |
| Disability Benefits | 539 | Shall calculate overpayment of disability benefit (e.g., due to RTW, disability to service option change, workers comp) |
| Disability Benefits | 540 | Shall provide the ability to pay a one-time lump sum (retroactive payment) payment in addition to recurring disability |
| Disability Benefits | 541 | Shall have the ability to distribute and designate cases automatically (e.g. push and pull, action based, first come first serve, or by designated groups) or manually. |
| Disability Benefits | 542 | Shall have the ability to sort cases (e.g. by status, assignee, open, close, pending) |
| Disability Benefits | 543 | Shall have the ability to distinguish cases from a "consultation" vs "case". |
| Disability Benefits | 544 | Shall have the ability to retain any information obtained during the consultation phase into a case. |
| Disability Benefits | 545 | Shall have the ability to flag cases for "follow-up". |
| Disability Benefits | 546 | Shall be able to extract all history recorded in a case in chronological order (e.g. documents, recordings, notes, history, communications). |
| Disability Benefits | 547 | Shall have the ability to create a medical index (filed documents in chronological order, reviewed documents with notes, medical analysis notes and summary report and index) file per OCERS business rules. |
| Disability Benefits | 548 | Shall have the ability to track process time by individual status codes and/or phases. |
| Disability Benefits | 549 | Shall have the ability to create statistics and reports based but not limited to number application files (general and safety), employer cases granted or denied, open or closed cases, filed, applications submitted by employer at a certain time, application file date, and presumption. |
| Disability Benefits | 550 | Shall have the ability to send notifications to employer when files are not submitted timely or provided incomplete applications. |
| Disability Benefits | 551 | Shall have the ability to create a report based on employer file applications and statuses. |
| Disability Benefits | 552 | Shall have the ability to generate employer reporting and invoicing to support OCERS Employer Data Policy |
| Disability Benefits | 553 | Shall automatically apply and credit overpayment(s) of benefits to members contributions and interest balances per OCERS Business Rules |
| Disability Benefits | 554 | Shall provide the ability to assign and reassign cases to individuals and teams. |
| Disability Benefits | 555 | Shall provide a view of disability cases that can be filtered by parameters (e.g., Open cases, closed cases, legal cases, cases assigned to specific person, cases from OCSD) |
| Disaster Recovery and Business Continuity | 556 | Shall provide summary documentation providing a high-level overview of backup and recovery processes, including frequency of backups, retention periods, encryption methods, storage locations, backup security measures, recovery time objectives (RTOs) recovery point objectives (RPOs) and Service Level Agreements (SLAs) related to data recovery. |
| Disaster Recovery and Business Continuity | 557 | Shall provide continuity and recovery of all critical business functions provided by the vendor's solution. |
| Disaster Recovery and Business Continuity | 558 | Shall provide ability for real-time failover to alternate system of equal performance in the event of a primary system failure. |
| Disaster Recovery and Business Continuity | 559 | Shall perform a disaster recovery test of the system prior to go-live. |
| Disaster Recovery and Business Continuity | 560 | Shall ensure all systems associated with OCERS application delivery and data storage are physically secured in an access-restricted environment. |
| Disaster Recovery and Business Continuity | 561 | Shall implement and maintain immutable backups, preventing data alteration or deletion for a defined retention period. |
| Disaster Recovery and Business Continuity | 562 | Shall maintain operational availability of at least 99.982% uptime over any rolling twelve (12) month period. |
| Disaster Recovery and Business Continuity | 563 | Shall provide functionality that allows OCERS to securely back up their own data on-demand and on a scheduled basis. |
| Disaster Recovery and Business Continuity | 564 | Shall provide a comprehensive Business Continuity Plan (BCP) that outlines procedures to maintain operations during disruptions. |
| Disaster Recovery and Business Continuity | 565 | Shall maintain a Disaster Recovery Plan (DRP) that includes detailed recovery procedures for all critical system components. |
| Disaster Recovery and Business Continuity | 566 | Shall ensure the BCP and DRP are reviewed, tested, and updated at least annually. |
| Disaster Recovery and Business Continuity | 567 | Shall provide Recovery Time Objective (RTO) of 24 hours and Recovery Point Objective (RPO) of 4 hours for all systems and services provided under the contract. |
| Disaster Recovery and Business Continuity | 568 | Shall conduct, at a minimum, annual disaster recovery testing, including failover and failback procedures, with documented results available upon request. |
| Disaster Recovery and Business Continuity | 569 | Shall provide redundant infrastructure in geographically diverse data centers to ensure high availability. |
| Disaster Recovery and Business Continuity | 570 | Shall ensure data backups are performed regularly, encrypted in transit and at rest, and stored in multiple secure locations. |
| Disaster Recovery and Business Continuity | 571 | Shall provide access to system status dashboards and real-time incident notifications. |
| Disaster Recovery and Business Continuity | 572 | Shall ensure that third-party dependencies critical to system functionality have documented business continuity and disaster recovery plans. |
| Disaster Recovery and Business Continuity | 573 | Shall support data integrity verification following recovery to ensure completeness and accuracy. |
| Disaster Recovery and Business Continuity | 574 | Shall provide post-incident reports, including root cause analysis and remediation steps, after any business continuity or disaster recovery event. |
| Disaster Recovery and Business Continuity | 575 | Shall maintain Service Level Agreements (SLAs) that cover system availability, incident response times, and recovery metrics. |
| Disaster Recovery and Business Continuity | 576 | Shall provide evidence of independent audits or certifications related to business continuity and disaster recovery capabilities. |
| Divorce and Other Legal Process | 577 | Shall automatically flag the member's account upon receipt of a dissolution judgment or Domestic Relations Order (DRO). |
| Divorce and Other Legal Process | 578 | Shall provide the ability to automatically initiate workflow upon receipt of DRO or Income withholding order (e.g. judgement of dissolution) |
| Divorce and Other Legal Process | 579 | Shall provide the ability to integrate with third-party services to proactively identify members who are divorced but do not have the required information on file with OCERS. |
| Divorce and Other Legal Process | 580 | Shall provide the capability to manage DROs or income withholding orders (e.g., child support, tax levies, spousal support). |
| Divorce and Other Legal Process | 581 | Shall validate DRO against OCERS business rules before changing the status to "approved." |
| Divorce and Other Legal Process | 582 | Shall automatically generate necessary internal and external notifications (e.g., denial, additional information needed, action required) per OCERS-defined business rules. |
| Divorce and Other Legal Process | 583 | Shall automatically initiate a workflow upon receipt of a member's Authorization for Disclosure of OCERS Records form based on a request by a spouse or former spouse. |
| Divorce and Other Legal Process | 584 | Shall terminate benefit paid to ex-spouse upon death of member without a continuance benefit and trigger a workflow. |
| Divorce and Other Legal Process | 585 | Shall provide the ability for the alternate payee to update payment methods (e.g., direct deposit, tax withholding) |
| Divorce and Other Legal Process | 586 | Shall provide for maintaining separate benefits where an ex-spouse is also a member or is an ex-spouse to more than one member. |
| Divorce and Other Legal Process | 587 | Shall allow an ex-spouse to rollover a lump sum payment to a qualified plan |
| Divorce and Other Legal Process | 588 | Shall apply increases or decreases to the payee’s account based on the terms of the DRO. |
| Divorce and Other Legal Process | 589 | Shall provide the ability to automatically add or remove DRO account lock per OCERS business rules and legal requirements. |
| Divorce and Other Legal Process | 590 | Shall have the ability to process multiple DRO's for the same person |
| Divorce and Other Legal Process | 591 | Shall ensure that required documentation (e.g. judgment of dissolution, death certificate, spousal waiver) is on file before allowing changes or removal of a spouse as a beneficiary. |
| Divorce and Other Legal Process | 592 | Shall provide the ability to automatically apply 50% withholding (parameter) based on OCERS business rules to benefit changes when a notice of adverse interest is received |
| Divorce and Other Legal Process | 593 | Shall provide the ability to recalculate member benefit based on final DRO and determine amount of retroactive payment due |
| Divorce and Other Legal Process | 594 | Shall provide the ability to suspend child support payment and request court order to amend or terminate once child reaches age 18 |
| Divorce and Other Legal Process | 595 | Shall provide a centralized module with configurable fields for managing all legal orders (e.g. Domestic Relations Orders (DROs), garnishments, levies, subpoenas). |
| Divorce and Other Legal Process | 596 | Shall allow the creation and tracking of legal orders with unique identifiers for each order. |
| Divorce and Other Legal Process | 597 | Shall support configurable workflows for processing legal orders (e.g. notifications to member, document intake, review, approval, and execution). |
| Divorce and Other Legal Process | 598 | Shall enable secure storage and retrieval of legal order documents, with version control and audit trails. |
| Divorce and Other Legal Process | 599 | Shall allow configurable templates for standard legal order processing (e.g. QDRO determinations, garnishment calculations). |
| Divorce and Other Legal Process | 600 | Shall automate calculations related to legal orders (e.g. benefit splits, withholding amounts, payment adjustments). |
| Divorce and Other Legal Process | 601 | Shall enable configurable timelines and alerts to track deadlines for responding to legal orders. |
| Divorce and Other Legal Process | 602 | Shall allow linking of legal orders to specific members, beneficiaries, or alternate payees. |
| Divorce and Other Legal Process | 603 | Shall enable real-time updates to member accounts to reflect legal order impacts (e.g. benefit adjustments, payment redirections). |
| Divorce and Other Legal Process | 604 | Shall support secure notifications to members regarding the receipt, processing, or resolution of legal orders. |
| Divorce and Other Legal Process | 605 | Shall track and manage alternate payee information for legal orders that affect multiple parties. |
| Divorce and Other Legal Process | 606 | Shall integrate with other system modules, including payment processing, member records, and case management, to ensure seamless handling of legal orders. |
| Divorce and Other Legal Process | 607 | Shall provide detailed reporting capabilities to monitor legal order activity (e.g., order types, processing times, and compliance rates). |
| Divorce and Other Legal Process | 608 | Shall allow exporting of legal order data for external audits, legal review, or compliance reporting. |
| Divorce and Other Legal Process | 609 | Shall maintain a complete audit trail of all actions taken on legal orders, including user activity, changes, and communications. |
| Divorce and Other Legal Process | 610 | Shall provide automated alerts and reminders for key milestones, deadlines, or required actions related to legal orders. |
| Divorce and Other Legal Process | 611 | Shall provide the ability to process refunds of contributions to an alternate payee if the member terminates and withdraws. |
| Divorce and Other Legal Process | 612 | Shall provide the ability to support the appropriate allocation of a benefit to multiple alternate payees as defined by DRO. |
| Divorce and Other Legal Process | 613 | Shall provide the ability in the case of a death of a DRO payee to re-allocate, cease or pay a continuance of the DRO share based on the original judgement rules. |
| Divorce and Other Legal Process | 614 | Shall provide the ability to calculate and apply proportionate share of the tax excluded benefit under Safe Harbor to the benefit payment for the Alternate Payee, and to apply taxability changes automatically in the case the member is granted a service-connected disability. |
| Divorce and Other Legal Process | 615 | Shall provide the ability to display the general case status and summary information of pending legal matters (e.g. appeals, court cases). |
| Divorce and Other Legal Process | 616 | Shall provide the ability to display and maintain (based on role-based security) pertinent dates and information related to administrative appeals. |
| Divorce and Other Legal Process | 617 | Shall provide the ability to generate a log of communication and actions (e.g. phone call, email, court filings, input actions) related to appeals where the listing provides a link to the relevant item. |
| Employer Reporting | 618 | Shall produce a view of all participants that have reached the IRC 415 limit |
| Employer Reporting | 619 | Shall display the amount that can still be applied for participant(s) who approach the IRC 415 limit |
| Employer Reporting | 620 | Shall automatically notify employer of the amount owed for their participants that have reach the IRC 415 limit. |
| Employer Reporting | 621 | Shall automatically calculate a reconciliation for retroactive changes of employer and/or member contributions and interest, based on each employers defined benefit plan/rate formula(s), including pick up rates, for non-service credit purchases. |
| Employer Reporting | 622 | Shall provide a 24x7 self-service portal that enables employers to report, correct, update and view their employer reports for a complete transmittal or individual employee. |
| Employer Reporting | 623 | Shall support reporting formats as defined in OCERS Employer Reporting Guidelines (See Appendix for OCERS current transmittal file format). |
| Employer Reporting | 624 | Shall provide the ability to roll forward the previous employer report as a starting point for the current period's report, allowing data to be edited. |
| Employer Reporting | 625 | Shall allow OCERS to manually process a payroll report by entering it into the system through the same web-based solution. |
| Employer Reporting | 626 | Shall enable employers to upload a payroll report from their system into the web-based solution. |
| Employer Reporting | 627 | Shall provide employers with the ability to view invoices and payments through the web-based solution. |
| Employer Reporting | 628 | Shall produce a view and report based on OCERS-specified date range showing any active participant on employer report who is receiving a benefit. |
| Employer Reporting | 629 | Shall record participant contributions based on participant group and OCERS business rules. |
| Employer Reporting | 630 | Shall record all wages up to the date of termination or death of the participant, based on participant group and OCERS business rules. |
| Employer Reporting | 631 | Shall provide a view of delinquent employer reporting based on a user-defined number of days late. |
| Employer Reporting | 632 | Shall notify employers of delinquent reporting. |
| Employer Reporting | 633 | Shall provide the ability to calculate and apply late fees and penalties related to receivables. |
| Employer Reporting | 634 | Shall provide the ability to report and differentiate base pay and pay items. |
| Employer Reporting | 635 | Shall allow payroll reports with underpayments to be posted. |
| Employer Reporting | 636 | Shall maintain multiple payroll files for a given reporting period |
| Employer Reporting | 637 | Shall provide the ability to combine multiple payroll files |
| Employer Reporting | 638 | Shall support one or more supplemental (e.g. bonus, overtime) payroll cycles. |
| Employer Reporting | 639 | Shall provide the ability to process a file of inactive periods on previous payroll record |
| Employer Reporting | 640 | Shall apply real-time edits and validations to payroll reports according to OCERS business rules (e.g., ensuring data files are balanced, formatted correctly.). |
| Employer Reporting | 641 | Shall generate real-time error messages, as defined by OCERS, to validate incoming employer reports. |
| Employer Reporting | 642 | Shall support and track key dates related to employer reports (e.g. submission, correction, validation, and acceptance dates). |
| Employer Reporting | 643 | Shall track and maintain member information as determined by OCERS (e.g. employment status, hire date, termination date, leave without pay, rehire date, ). |
| Employer Reporting | 644 | Shall apply participant status codes (e.g., suspension, workers compensation, military leave, educational leave) based on dates and codes received on the employer reports |
| Employer Reporting | 645 | Shall validate all incoming employer reports from employer and affiliates submitting reports (e.g., numeric, field size, physical file attributes) |
| Employer Reporting | 646 | Shall accommodate employer-reported data adjustments for both prior and current periods. |
| Employer Reporting | 647 | Shall allow non-current payroll adjustment records to be entered using an effective date. |
| Employer Reporting | 648 | Shall provide the ability to edit a single record (e.g. add, change or delete) in an existing report that has not been posted |
| Employer Reporting | 649 | Shall notify the employer (e.g. error, prompt, email) if a participant who appeared in the previous reporting cycle is missing from the current report and has not been reported as terminated. |
| Employer Reporting | 650 | Shall allow employers to delete unposted employer reports created in error. |
| Employer Reporting | 651 | Shall allow OCERS to receive either the employer report or the payment before the other. |
| Employer Reporting | 652 | Shall support multiple transactions per participant within a single reporting period. |
| Employer Reporting | 653 | Shall provide a view of payroll data by employer payrolls or by specified periods (e.g. weekly, bi-weekly, monthly). |
| Employer Reporting | 654 | Shall support concurrent employment for a participant based on OCERS business rules. |
| Employer Reporting | 655 | Shall provide the ability to identify participants with concurrent employment and generate an error based on OCERS business rules. |
| Employer Reporting | 656 | Shall allow OCERS and employers to view unposted employer reports that are still in process. |
| Employer Reporting | 657 | Shall allow entry of a single payroll record spanning multiple periods, automatically allocating equal amounts among reporting periods, while allowing employers to edit the data. |
| Employer Reporting | 658 | Shall generate invoices based on employer reports for each employer. |
| Employer Reporting | 659 | Shall automatically post employer reports, including service credit, if they meet OCERS-defined specifications and contain no errors. |
| Employer Reporting | 660 | Shall provide a simple view to see an error message(s) |
| Employer Reporting | 661 | Shall allow OCERS to override errors and exceptions. |
| Employer Reporting | 662 | Shall provide an audit trail of any corrections made to reported data |
| Employer Reporting | 663 | Shall notify employers about non-participants who may be eligible for OCERS enrollment but have not yet been enrolled. |
| Employer Reporting | 664 | Shall provide a view, based on OCERS-defined criteria, listing non-participants who may be eligible for enrollment. |
| Employer Reporting | 665 | Shall provide a view of participants who do not meet OCERS-defined eligibility rules. |
| Employer Reporting | 666 | Shall validate reported data against participant contribution rate tables based on enrollment dates and effective contribution rates. |
| Employer Reporting | 667 | Shall notify employer and participant if participant who is receiving a retirement benefit starts working again and is not allowed to work while receiving a benefit payment |
| Employer Reporting | 668 | Shall initiate a workflow if a retiree returns to work when they are not allowed to receive a retirement benefit. |
| Employer Reporting | 669 | Shall validate contributions reported against the applicable plan. |
| Employer Reporting | 670 | Shall prevent an employer from submitting and posting the same transmittal file twice within a pay period ( (e.g. exact same file name) |
| Employer Reporting | 671 | Shall issue credits to employers who report contributions for non-qualifying member per OCERS business rules. |
| Employer Reporting | 672 | Shall automatically calculate the employer’s required contribution. |
| Employer Reporting | 673 | Shall reconcile posted contributions against the payroll period ending date. |
| Employer Reporting | 674 | Shall reconcile total member contributions and adjustments against the employer’s total remittance. |
| Employer Reporting | 675 | Shall update participant salary history for the appropriate pay period. |
| Employer Reporting | 676 | Shall assign effective periods to employer submitted data |
| Employer Reporting | 677 | Shall capture historical rates and factors for all Employers and Bargaining units with effective dates so that retroactive active calculations use the appropriate data |
| Employer Reporting | 678 | Shall maintain the data relationship between members and their historical payroll records. |
| Employer Reporting | 679 | Shall maintain period balances (e.g., period-to-date, life-to-date, year-to-date, fiscal) for total contributions, earnings, hours, and service for each participant, categorized by type. |
| Employer Reporting | 680 | Shall provide a view for employers that lists all employer reports received, along with a summary of data for a defined date range. |
| Employer Reporting | 681 | Shall provide a view of errors and exceptions and their corresponding corrections for submitted employer reports. |
| Employer Reporting | 682 | Shall require a response if an employer enters a leave code for a member and zero earnable salary |
| Employer Reporting | 683 | Shall provide a view listing all participants marked with a leave status by employer, for all employers, within a specific date range. |
| Employer Reporting | 684 | Shall provide a view of all errors by record for an employer report. |
| Employer Reporting | 685 | Shall provide a view reflecting the employer’s reported data to OCERS, showing current salary, contributions, and running balances, in the order submitted by the employer. |
| Employer Reporting | 686 | Shall provide a real-time summary of any data file received from an employer, including batch totals and number of detail records. |
| Employer Reporting | 687 | Shall provide a view listing participants who have terminated, withdrawn, applied for retirement, received an initial benefit, or had a final benefit calculation performed, based on parameters entered by OCERS (e.g., dates, employers). |
| Employer Reporting | 688 | Shall provide a monthly view comparing a participant’s current salary with the previous month’s salary, highlighting participants whose salary has changed by x percent (parameter) or is reported as zero (sorted by employer). |
| Employer Reporting | 689 | Shall provide a view of the total contributions received that have not been posted to pension system accounts. |
| Employer Reporting | 690 | Shall allow the receipt of employer contributions without a corresponding participant contribution. |
| Employer Reporting | 691 | Shall enable sending mass communications to all or selected employers, based on parameters defined by OCERS. |
| Employer Reporting | 692 | Shall provide a view by employer identifying participants on leave. |
| Employer Reporting | 693 | Shall provide a view showing employer account balances and transactions over a user-defined period of time. |
| Employer Reporting | 694 | Shall flag members for whom salary and contributions are reported by the employer but no enrollment information has been received (e.g. Missing Affidavit, beneficiary information) |
| Employer Reporting | 695 | Shall provide a summary on the employer view, detailing the records, dollar amounts, and participants processed for the employer report. |
| Employer Reporting | 696 | Shall provide a test reporting area, a certification area, and a production reporting area for the web self-service solution. |
| Employer Reporting | 697 | Shall provide employer reporting instructions; FAQs; and a detailed user guide to OCERS |
| Employer Reporting | 698 | Shall provide information to the employer in web self-service to assist with completing the employer reporting process (e.g. FAQs, tool tips, videos, additional information). |
| Employer Reporting | 699 | Shall provide an employer reporting web-based solution that has an employer message area. Each message will be tagged as either required in which the employer must read the message before proceeding or informational (no employer restrictions) |
| Employer Reporting | 700 | Shall allow OCERS to display messages to all or selected employers for a specified period of time. |
| Employer Reporting | 701 | Shall provide a view showing the date, time, and individual who viewed messages in the message area of web self-service. |
| Employer Reporting | 702 | Shall provide the ability to categorize messages to employers |
| Employer Reporting | 703 | Shall provide a view displaying all messages based on OCERS-defined parameters (e.g., message category, employer, employer user, participant). |
| Employer Reporting | 704 | Shall capture comments or notes regarding an employer data file |
| Employer Reporting | 705 | Shall notify the employer after x (parameter) days if their invoice has not paid. |
| Employer Reporting | 706 | Shall provide the ability to capture eligibility date based on OCERS business rules (e.g. to account for prior service) |
| Employer Reporting | 707 | Shall automatically generate appropriate forms upon termination of employment, verifying wages, date of hire and termination of employment (if a linked account only send once) |
| Employer Reporting | 708 | Shall automatically reset the excess benefit IRC 415 (annual limit) flag at the start of the next calendar year |
| Employer Reporting | 709 | Shall provide the ability for OCERS to store the IRC 415 annual limit amount (parameter) by effective date |
| Employer Reporting | 710 | Shall provide for capture of non-participant data |
| Employer Reporting | 711 | Shall allocate hours, based on OCERS business rules, between months when hours reported for a pay period span consecutive months. |
| Employer Reporting | 712 | Shall enable the identification of seasonal employment status (e.g., extra help) based on OCERS business rules. |
| Employer Reporting | 713 | Shall initiate a workflow after x hours (parameter) for seasonal employees (e.g., extra help) who have not been terminated and have worked longer than x hours as defined by OCERS business rules. |
| Employer Reporting | 714 | Shall provide for reporting of data for all plans |
| Employer Reporting | 715 | Shall validate Employer Reporting deduction for service credit purchase |
| Employer Reporting | 716 | Shall ensure there is a reconciliation for total amount taken out for a plan vs. individual deductions for that plan |
| Employer Reporting | 717 | Shall receive and record leave hours (e.g. sick, time-off) and value for eligible participants and non-participants |
| Employer Reporting | 718 | Shall allow payroll date and/or cycle to be changed based on OCERS administration rules with security roles |
| Employer Reporting | 719 | Shall automatically inform the employer if an expected participant's payment is not on the current report for a service credit purchase. |
| Employer Reporting | 720 | Shall automatically generate an invoice to the member for the employee portion when a retroactive active adjustment is made for a participant no longer employed by the employer |
| Employer Reporting | 721 | Shall notify employer if employee is within 'x' hours of meeting eligibility with the ability to set parameters. |
| Employer Reporting | 722 | Shall prevent transmittals from posting prior to pay date unless overridden by OCERS |
| Employer Reporting | 723 | Shall provide the ability to view historical employer transmittal data (e.g., historical annual, transmittal as paid, as earned…) for a given employee within an OCERS-defined date range |
| Employer Reporting | 724 | Shall allow OCERS users to enter adjustment transactions for a withdrawn employer. |
| Employer Reporting | 725 | Shall prevent notifications to a withdrawn employer when an OCERS-entered adjustment is made |
| Employer Reporting | 726 | Shall have the ability to capture and process Pay Items based on OCERS business rules. |
| Employer Reporting | 727 | Shall have the ability for employers to set their fiscal year. |
| Employer Reporting | 728 | Shall provide the ability to capture cashable and non-cashable leave payouts. |
| Employer Reporting | 729 | Shall provide the ability for employers to report relevant information related to the most recent Memorandum of Understanding (MOU) or other annual agreements that may impact a member’s benefit. |
| Employer Reporting | 730 | Shall allow employers to correct and resubmit data with audit tracking of changes. |
| Employer Reporting | 731 | Shall generate confirmation receipts for successful data submissions. |
| Employer Reporting | 732 | Shall accommodate reporting of member demographics, contribution details, and employment status changes. |
| Employer Reporting | 733 | Shall allow for configurable reporting periods |
| Employer Reporting | 734 | Shall integrate with external payroll systems via APIs or standardized data exchange protocols to streamline reporting. |
| Employer Reporting | 735 | Shall enable automated calculation of required contributions based on reported payroll data. |
| Employer Reporting | 736 | Shall support data reconciliation processes between employer reports and internal system records. |
| Employer Reporting | 737 | Shall accommodate multiple employer types with configurable reporting requirements. |
| Employer Reporting | 738 | Shall allow for customization of data validation rules without requiring vendor intervention. |
| Employer Reporting | 739 | Shall provide version control for submitted reports, with the ability to view and compare historical submissions. |
| Employer Reporting | 740 | Shall provide flexible data export capabilities for internal reporting and analysis. |
| Employer Reporting | 741 | Shall identify duplicate or inconsistent records across reporting periods. |
| Employer Reporting | 742 | Shall accommodate employer contribution rate changes and retroactive active adjustments. |
| Employer Reporting | 743 | Shall provide the ability for the employer to track compensation limits (e.g., 415, 401(a)(17), PEPRA) for members and alert the employer of amounts owed. |
| Employer Set-Up | 744 | Shall provide a data entry screen to set-up a new employer within the new system |
| Employer Set-Up | 745 | Shall provide effective dates for an employer's entry into the plan and keep a history of all dates |
| Employer Set-Up | 746 | Shall notify employer if changes are made to their account per OCERS business rules |
| Employer Set-Up | 747 | Shall provide the ability to maintain an employer's status (e.g., active, inactive). |
| Employer Set-Up | 748 | Shall automatically associate members and their accounts with merged or split employers. |
| Employer Set-Up | 749 | Shall track employers by type (agency code) |
| Employer Set-Up | 750 | Shall provide a view for employers by type (agency code) |
| Employer Set-Up | 751 | Shall support multiple contact types for each employer. |
| Employer Set-Up | 752 | Shall allow each contact to have multiple addresses and address types, phone numbers, fax numbers, and email addresses, with the ability to contact via various distribution groups. |
| Employer Set-Up | 753 | Shall provide the ability to identify third-party entities associated with employers. |
| Employer Set-Up | 754 | Shall provide the ability for employers to establish full-time equivalent designations. |
| Employer Set-Up | 755 | Shall capture payroll schedules and payroll cycles for each employer. |
| Employer Set-Up | 756 | Shall allow earned and pay dates to be defined by the employer for each payroll cycle. |
| Employer Set-Up | 757 | Shall enable payroll dates and schedules to be maintained for each payroll cycle. |
| Employer Set-Up | 758 | Shall maintain a perpetual calendar of pay cycles and pay dates. |
| Employer Set-Up | 759 | Shall allow employers to access employer-related forms, annual reports, rate information, and other system data as determined by OCERS. |
| Employer Set-Up | 760 | Shall provide employers with an "administrator" function, enabling them to authorize individual access to various employer self-service functions |
| Employer Set-Up | 761 | Shall allow the creation, modification, and deactivation of employer profiles. |
| Employer Set-Up | 762 | Shall capture and maintain key employer information, including name, address, contact details, tax identification numbers, and plan participation details. |
| Employer Set-Up | 763 | Shall allow configuration of employer-specific plan participation rules, including contribution rates |
| Employer Set-Up | 764 | Shall support multiple plans under a single employer with distinct configurations for each plan. |
| Employer Set-Up | 765 | Shall allow tracking of historical plan participation changes for audit purposes. |
| Employer Set-Up | 766 | Shall support employer-specific contribution rate settings, including fixed, variable, and tiered contribution structures. |
| Employer Set-Up | 767 | Shall provide the ability to define employer-specific reporting frequencies and submission deadlines. |
| Employer Set-Up | 768 | Shall support secure communication channels for correspondence between the pension administration system and employers. |
| Employer Set-Up | 769 | Shall allow integration with external payroll systems and accounting software through secure APIs. |
| Employer Set-Up | 770 | Shall provide guided workflows for OCERS to onboard new employers, including step-by-step setup instructions. |
| Employer Set-Up | 771 | Shall include help desk and technical support features within the employer portal. |
| Enrollment | 772 | Shall provide a secure web self-service portal that allows employers to report, correct, and update member enrollment information. |
| Enrollment | 773 | Shall provide the ability for OCERS to process enrollments manually |
| Enrollment | 774 | Shall enable OCERS staff to co-browse or access a read-only version of the employer’s enrollment view to assist in resolving inquiries and issues. |
| Enrollment | 775 | Shall validate the enrollment data against the employer account information according to OCERS business rules |
| Enrollment | 776 | Shall capture all required enrollment information as defined by OCERS (e.g. name, maiden name, Social Security number, address, date of birth, phone number, email, sex, marital status, department, position, number of children, veteran status, past membership in the state, retirement status, beneficiary information). |
| Enrollment | 777 | Shall notify the employer of any mandatory or non-mandatory missing or incomplete member information (incomplete enrollment record), pre-filling known details (e.g., include a pre-filled membership application highlighting the areas that need to be completed or corrected) |
| Enrollment | 778 | Shall identify and process enrollments for members with prior participation in the system, preventing duplicate records by updating existing member records with newly reported data instead of creating new records. |
| Enrollment | 779 | Shall determine if a member is currently employed at another OCERS covered agency and display a message for the employer in accordance with OCERS business rules. |
| Enrollment | 780 | Shall perform real-time edits and validations against enrollment data. |
| Enrollment | 781 | Shall create, update, validate, and display enrollment information with effective dates (e.g. entry date, contribution date) per OCERS business rules |
| Enrollment | 782 | Shall identify if enrollment information is received for an individual currently receiving a monthly pension benefit and notify OCERS benefits staff, triggering the automatic suspension of benefit payments in accordance with OCERS business rules. |
| Enrollment | 783 | Shall update member demographic information as part of the enrollment process. |
| Enrollment | 784 | Shall allow the assignment and continued use of an established OCERS ID number for members. |
| Enrollment | 785 | Shall provide the ability to identify potential duplicate SSN situations and require the employer to verify |
| Enrollment | 786 | Shall allow for multiple contact options (e.g. email, fax, landline, mobile) with primary and secondary contact designations. |
| Enrollment | 787 | Shall provide a view of all enrollments for an employer based on date parameters specified by OCERS. |
| Enrollment | 788 | Shall provide a view of a member's employment history, including employment across multiple employers, for internal or external use as needed. |
| Enrollment | 789 | Shall provide a view of members who are enrolled but currently have a suspended monthly pension benefit. |
| Enrollment | 790 | Shall flag members who are in the process of enrolling and have a potential duplicate SSN situation. |
| Enrollment | 791 | Shall provide a view of members who are currently employed by another employer. |
| Enrollment | 792 | Shall enable the generation of labels and mailing lists for all newly enrolled members based on a specified date range. |
| Enrollment | 793 | Shall distribute enrollment-related forms (e.g., welcome letter, enrollment application, beneficiary nomination) through workflow or web-based initiation. |
| Enrollment | 794 | Shall generate the enrollment welcome packet and determine its contents based on the member’s entry date and/or status. |
| Enrollment | 795 | Shall display a message if the employee has a status that prevents enrollment (e.g., date of death). |
| Enrollment | 796 | Shall provide a consolidated view of an employer's enrollment information for OCERS |
| Enrollment | 797 | Shall display a message notifying the employer if the member being enrolled is currently receiving a monthly pension benefit. |
| Enrollment | 798 | Shall review enrollment information captured through electronic file prior to the data being committed to the database when certain conditions apply based on OCERS business rules |
| Enrollment | 799 | Shall display all names when there are duplicate names in the system, allowing the user to select the correct member or payee |
| Enrollment | 800 | Shall provide a view of enrolled members who do not have payroll records, based on date parameters specified by OCERS. |
| Enrollment | 801 | Shall provide the ability to indicate if a member had previous service at a reciprocal retirement system. |
| Enrollment | 802 | Shall allow employers to submit member enrollment data electronically through bulk file uploads and integrations with payroll systems. |
| Enrollment | 803 | Shall provide the ability to validate member eligibility based on predefined rules, including employment type, age, and contribution requirements. |
| Enrollment | 804 | Shall allow members and employers to submit required documentation (e.g., proof of identity, employment verification) electronically. |
| Enrollment | 805 | Shall provide automated notifications to members and employers regarding the status of enrollment applications. |
| Enrollment | 806 | Shall enable real-time validation of data from employers, with error messaging for missing or incorrect information. |
| Enrollment | 807 | Shall support electronic signatures for enrollment forms and acknowledgments. |
| Enrollment | 808 | Shall provide a view (e.g. dashboards and/or reports) to track enrollment trends, pending applications, and completion rates. |
| Enrollment | 809 | Shall notify the employer of a rehired deferred member. |
| Financial and Statistical Reporting | 810 | Shall provide the ability to transfer electronic data between pension administration solution and related systems with the general ledger for accounting and financial statements. |
| Financial and Statistical Reporting | 811 | Shall provide the ability to generate summary or detailed transactions for transfer to OCERS general ledger. |
| Financial and Statistical Reporting | 812 | Shall provide the ability to maintain and track individual employer accounts (e.g. account balance, employer reserves) |
| Financial and Statistical Reporting | 813 | Shall provide the ability to include all transaction data on retirement (e.g. details, expense, fund) and include ability to generate and send general ledger transactions to financial accounting software. |
| Financial and Statistical Reporting | 814 | Shall provide the ability to create a view of all accounting related transactions (e.g. monthly benefits paid by type, summary and detail of all accounting transactions, all employer account transactions by type). |
| Financial and Statistical Reporting | 815 | Shall provide the ability to generate periodic and annual employer account statements with details on changes to current balance (e.g. plan and rate group) on all employer accounts. |
| Financial and Statistical Reporting | 816 | Shall provide the ability to create balancing and reconciling reports for employer accounts and throughout the solution to ensure all accounts are always balanced. |
| Financial and Statistical Reporting | 817 | Shall provide the ability to be able to create reports by historical date (as of date) and apply all transactions that were effective as of that date. |
| Financial and Statistical Reporting | 818 | Shall provide the ability to automatically post bi-annual interest, based on an annual interest rate, to employer accounts in a percentage, as a multiplier, or as a flat amount. |
| Financial and Statistical Reporting | 819 | Shall provide the ability to be able to maintain the annual interest approved by the Board of Retirement for employer accounts. |
| Financial and Statistical Reporting | 820 | Shall provide the ability to generate online views and printable reports to reconcile transfers of data between the pension administration solution, general ledger and related systems to which data is sent or received. |
| Financial and Statistical Reporting | 821 | Shall provide the ability to charge and modify interest or "fees" on un-paid employer and member balances and provide a view of the interest charges. |
| Financial and Statistical Reporting | 822 | Shall provide the ability to ensure that year end transactions are posted to correct periods and at the correct rates (e.g. Selected transactions processed in January before the annual GL cut-off should be posted as December transactions). |
| Financial and Statistical Reporting | 823 | Shall have the ability to provide a view and generate a file(s) per OCERS specifications that can be used to produce required reporting, such as, the OCERS by the Numbers annual report, Annual Comprehensive Financial Report, and the State Controller's Office report. |
| Financial and Statistical Reporting | 824 | Shall provide the ability to view statistical and detailed membership transaction information as needed for analysis. |
| Financial and Statistical Reporting | 825 | Shall provide the ability to produce trend reports (e.g., actuarial, experience, demographics). |
| Financial and Statistical Reporting | 826 | Shall provide the ability to support all the OCERS accounting entities (e.g., , funds, systems, plans, journals, chart of accounts, general ledger transactions) and roll-ups of any combination of these. |
| Financial and Statistical Reporting | 827 | Shall provide the ability to create appropriate general ledger transactions for any financial transactions (e.g., monthly remittance of contributions, and accounts receivable, debits and credits). |
| Financial and Statistical Reporting | 828 | Shall provide the ability to view the detailed history of all GL transactions processed. |
| Financial and Statistical Reporting | 829 | Shall provide the ability for summary and detail views of monthly journal entries posted to general ledger. |
| Financial and Statistical Reporting | 830 | Shall provide the ability for a reconciliation view to help end-users verify the transactions processed, (e.g., daily, weekly, monthly and fiscal year reconciliations, monthly remittance of contributions). |
| Financial and Statistical Reporting | 831 | Shall provide the ability to split data from single payroll file into appropriate general ledger (e.g., by employer type, plan, rate group). |
| Financial and Statistical Reporting | 832 | Shall provide the ability for integration between Sage Intacct and bidders LOB solution based on business rules and parameters to be defined by OCERS. |
| Financial and Statistical Reporting | 833 | Shall provide the ability to distinguish cash vs. non-cash financial GL transactions |
| Financial and Statistical Reporting | 834 | Shall provide the ability to generate a view including employer, member, annuitants, beneficiary, benefit payments, and plan statistics according to parameters and data defined by OCERS. |
| Financial and Statistical Reporting | 835 | Shall provide the ability to process "cut off" (and closed) dates for month end processing of financial statements. |
| Financial and Statistical Reporting | 836 | Shall provide the ability to automatically generate the annual year end cut-off date (which is the December GL cut-off date). |
| Financial and Statistical Reporting | 837 | Shall provide the ability to process transactions in the current calendar year for the current and prior calendar year concurrently until prior year is cut off. |
| Financial and Statistical Reporting | 838 | Shall provide the ability to create a view of the interest distributed to employer reserves. |
| Financial and Statistical Reporting | 839 | Shall provide a view of employer required contribution amounts. |
| Financial and Statistical Reporting | 840 | Shall provide the ability to automatically calculate, record and maintain employer minimum and required contribution amounts according to parameters and OCERS business rules. |
| Financial and Statistical Reporting | 841 | Shall provide the ability to automatically generate personalized notifications to customers based on Financial Reporting business rules using visuals such as tables, charts, graphs and methods as appropriate per design, and deliver them according to preferred method of communication as applicable. |
| Financial and Statistical Reporting | 842 | Shall provide the ability to produce detail and summary reports, as well as exception reports for Financial Reporting processes based on business rules. |
| Financial and Statistical Reporting | 843 | Shall provide the ability to create corrected Employer Reserve statements to reflect adjustments that affect a previously issued statement. |
| Financial and Statistical Reporting | 844 | Shall provide ability to generate roll-forward accounting of financial accounts by Reserve (Member, Annuitant, Employer). |
| Financial and Statistical Reporting | 845 | Shall provide ability to generate roll-forward accounting of financial accounts by employer, plan, rate groups. |
| Financial and Statistical Reporting | 846 | Shall provide ability to generate roll-forward statistics of members and annuitants by status. |
| Financial and Statistical Reporting | 847 | Shall provide the ability to write off inactive member accounts per business rules. |
| General LOB | 848 | Shall provide a robust reporting tool that accesses all areas of the proposed solution and integrated systems to generate and save views that a user can filter and refine for reporting and analysis. The system should be able to be used by non-technical staff based on user role. |
| General LOB | 849 | Shall provide the ability to flag data used in a custom report that may require special consideration (e.g., potential need for more in-depth technical knowledge) or provide a way to tag data that is okay for a user to use when generating a custom report or extract. |
| General LOB | 850 | Shall implement a solution to handle all the current core retirement functionality in order to perform day-to-day business as defined in OCERS Statutes, policies and business rules of Orange County and the State of California. (See RFP Section 02 - Background) |
| General LOB | 851 | Shall provide functionality for all tiers and plans administered by OCERS |
| General LOB | 852 | Shall apply OCERS business rules prior to saving transactions and records |
| General LOB | 853 | Shall automatically generate a unique ID based on OCERS legacy ID parameters to identify all persons and entities who have a relationship with OCERS |
| General LOB | 854 | Shall provide the ability to establish and maintain organizations (e.g., banks, government agencies, vendors, reporting entities) |
| General LOB | 855 | Shall enable data, workflows, and images associated with two or more member, beneficiaries, employers, and organizations to be merged into a single record, based on an effective date to maintain history |
| General LOB | 856 | Shall provide the ability to notify employers, Third Party Administrator(s), and member or payee when SSN's are merged |
| General LOB | 857 | Shall provide the ability to enable data associated with one member, employer, or organization to be split into two or more records, based on an effective date to maintain history |
| General LOB | 858 | Shall capture and maintain an audit trail with effective dates for each transaction and be able to inquire and display all effective dates on all transactions and any updates for the proposed solution. |
| General LOB | 859 | Shall provide the ability to capture future effective date changes (e.g., address, tax withholdings (federal or state), temporary residents) and provide notification to user upon meeting effective and termination date of said change. |
| General LOB | 860 | Shall process retroactive active transactions using dates (e.g., rates, rules, table values) in effect based on OCERS business rules. |
| General LOB | 861 | Shall provide the ability for OCERS to maintain current and historical interest rates with corresponding date range |
| General LOB | 862 | Shall provide the ability to maintain multiple interest rates for the same date range |
| General LOB | 863 | Shall permit transactions (online and internal) while a batch job(s) runs in the background |
| General LOB | 864 | Shall provide the ability to perform all processing real-time, while also providing the capability of batch processing as required |
| General LOB | 865 | Shall ensure that there is no required nightly batch processing (everything should be performed real-time), but the capability of such processing shall exist. |
| General LOB | 866 | Shall provide scheduling software that allows users to schedule one or more jobs |
| General LOB | 867 | Shall use a single code source for calculations that are reused within the solution for ease of maintenance |
| General LOB | 868 | Shall provide the appropriate real-time screen edits and validations to ensure accuracy of data being entered |
| General LOB | 869 | Shall identify duplicate accounts/member that need to be merged based on existing or incoming data (e.g. with the same or similar SSN and/or date of birth) |
| General LOB | 870 | Shall notify the member and employer if verification of SSN and/or date of birth are needed |
| General LOB | 871 | Shall flag a record if date of birth indicates a person may be too young or too old for their status |
| General LOB | 872 | Shall provide the ability to manage a calendar for business days and holidays (e.g., late notices, penalty interest, job scheduling) |
| General LOB | 873 | Shall allow demographic information to be updated from wherever it can be viewed, by user role |
| General LOB | 874 | Shall be able to change the gender classification for an individual |
| General LOB | 875 | Shall capture, maintain, inquire, and print (display) all address types (e.g., e-mail address, multiple mailing addresses (both domestic and foreign), bank address, electronic transfer address (routing number), power-of-attorney address, temporary addresses (with effective dates), beneficiary address, payment addresses and alternate contact address that are date sensitive). |
| General LOB | 876 | Shall require the existence of a valid mailing address not withstanding a preferred communication type |
| General LOB | 877 | Shall enforce edits on addresses utilizing an address software package that the bidder will supply or integrate with OCERS solution. |
| General LOB | 878 | Shall provide the ability to identify and alert the user, appropriate OCERS staff or employer contacts if person's address is invalid (e.g., USPS, email) |
| General LOB | 879 | Shall send out the appropriate notification based on the invalid address flag upon the address being updated |
| General LOB | 880 | Shall provide the ability to override the address software package update and persist the override. |
| General LOB | 881 | Shall provide the ability to sort addresses for mass mailings by any address element(s) |
| General LOB | 882 | Shall allow multiple addresses per person and/or organization |
| General LOB | 883 | Shall allow multiple start and/or end dates and address types per address based on OCERS business rules |
| General LOB | 884 | Shall provide the ability to automatically produce correspondence to old and new addresses whenever an address is changed by a user or by OCERS |
| General LOB | 885 | Shall allow multiple email addresses, fax and phone numbers for each person or organization |
| General LOB | 886 | Shall provide the ability for any user, internal or external (self-service), to set their preferred method of communication (e.g., web portal, email, text, paper) per communication type (e.g., payments, newsletter) |
| General LOB | 887 | Shall provide the ability to automatically send an email to the new email address when an email address is changed for a person or organization |
| General LOB | 888 | Shall provide the ability for OCERS branding on all messaging (e.g., email, letters, web self service) |
| General LOB | 889 | Shall provide the ability to send targeted communications (e.g. email, letter, web self-service notifications, text) to certain demographic and/or functional groups (e.g. beneficiaries, survivors, members, employers). |
| General LOB | 890 | Shall accept beneficiary information without a Social Security Number |
| General LOB | 891 | Shall capture and track birthdate of member and beneficiary through a view from anywhere the corresponding information is available |
| General LOB | 892 | Shall capture unlimited primary and secondary beneficiaries for each eligible account belonging to a member based on OCERS business rules. |
| General LOB | 893 | Shall ensure that the allocated % to the beneficiaries equals 100% |
| General LOB | 894 | Shall automatically send notification that a designation of beneficiary has not been received after x (parameter) days, with continuous notification at intervals of x days (parameter), until a designation is received |
| General LOB | 895 | Shall provide the ability to name and set up other entities (e.g., Guardian, Trust, Estate, Charity) as beneficiaries and provide appropriate field for non-person beneficiaries. |
| General LOB | 896 | Shall perform an edit to ensure that a secondary beneficiary cannot also be a primary beneficiary and vice versa or themselves |
| General LOB | 897 | Shall ensure that a secondary beneficiary cannot be added unless a primary beneficiary has already been added |
| General LOB | 898 | Shall automatically determine if the member can add or change beneficiary information based on their options and provide the appropriate validation to prevent this on any of the appropriate views |
| General LOB | 899 | Shall be able to identify all historical records for terminated members when a member is reemployed, and allow for manual override |
| General LOB | 900 | Shall provide the ability to send an update request notice following notification of a life-changing event (e.g., marriage, divorce, death) |
| General LOB | 901 | Shall provide the ability to select and notify the member or payee who should receive notifications upon receipt of a Power of Attorney form (e.g., notifications only to POA, only to member, or both) |
| General LOB | 902 | Shall capture and maintain start or end dates of marital status, and spouse name |
| General LOB | 903 | Shall provide the ability to process other legal relationships with start or end dates |
| General LOB | 904 | Shall have multiple contacts for a member, employer or other entity (e.g., bank, other institute, beneficiary, legal counsel) |
| General LOB | 905 | Shall provide the ability to store detailed account information for individuals who are not members (e.g., employers, vendors) |
| General LOB | 906 | Shall provide a view of a member's account history with a given as-of date and/or date range. |
| General LOB | 907 | Shall provide the ability to search by name (combination of, wildcard), SSN, any demographic data, OCERS ID or phone number to find a person's record |
| General LOB | 908 | Shall provide the ability to search employer by name (combination of, wildcard), Employer ID, demographic data to find an employer's record |
| General LOB | 909 | Shall provide the ability to configure search capabilities by user role, allowing certain users the ability to perform more exhaustive searches |
| General LOB | 910 | Shall cross reference any other account that a name, SSN or OCERS ID may be associated with |
| General LOB | 911 | Shall provide a view of all accounts associated with a name, SSN or OCERS ID (parameter) |
| General LOB | 912 | Shall have the ability to provide a view of all members accounts within a selected employer (parameter) |
| General LOB | 913 | Shall retain the search criteria that was previously entered or provide a means to clear it out |
| General LOB | 914 | Shall enable a quick search, so if the result set is large the solution should bring back the first set (e.g., 10, 20, 50) and then allow the user to go to the next set and so on |
| General LOB | 915 | Shall provide the ability to stop a search (e.g., if hundreds of records are returned) |
| General LOB | 916 | Shall allow OCERS to enter and set default values for fields that are parameter-driven (e.g., dropdown, choice boxes) |
| General LOB | 917 | Shall provide the ability for OCERS to maintain parameter value tables, including effective start and end dates |
| General LOB | 918 | Shall provide the ability for OCERS to view all the historical parameter table values |
| General LOB | 919 | Shall utilize descriptions and not codes when displaying data except when otherwise directed by OCERS |
| General LOB | 920 | Shall provide a unique name or identifier for every view in the solution |
| General LOB | 921 | Shall pre-populate key data based upon entry of identifying information (e.g., solution shall automatically display last name, first name, address, phone, and member ID, which correspond to SSN entered by user) |
| General LOB | 922 | Shall use messages, alerts and prompts to inform users (including self-service) of the impact of the decision(s) they are about to make, confirming a transaction, informing them of a status that is in conflict or other logical dependencies |
| General LOB | 923 | Shall provide the ability for users to acknowledge solution messaging and/or notifications allowing the user to continue and logging the user's acknowledgement |
| General LOB | 924 | Shall provide the ability to confirm transaction(s) before changes are saved on a user-by-user basis (e.g., confirmation button) |
| General LOB | 925 | Shall provide online help for all views and fields within the portal (e.g. employer, member) or application (e.g. internal user) |
| General LOB | 926 | Shall provide tooltips for context-sensitive instruction on field values (e.g. online help that provides assistance based on the specific field) |
| General LOB | 927 | Shall enable notes to be viewable by any user who has appropriate permissions |
| General LOB | 928 | Shall allow OCERS to set importance (e.g., info only, critical, alert) for each note that is entered for a person or organization |
| General LOB | 929 | Shall automatically fill in user-id, user name, date and time stamp for notes |
| General LOB | 930 | Shall enable notes to be unlimited and/or limited in length based on parameter set by OCERS |
| General LOB | 931 | Shall append new notes to existing notes |
| General LOB | 932 | Shall provide the ability to link images, documents, videos links to notes |
| General LOB | 933 | Shall provide the ability to require some notes to be read and acknowledged (internal and self-service) |
| General LOB | 934 | Shall provide the ability for OCERS staff to search entities (e.g. person, employer) using an advance search engine (e.g., by a word or a phrase entered, or a based on parameter) into the notes |
| General LOB | 935 | Shall provide the ability for OCERS to sort notes (e.g., by category, by date, by contact category, by user-id, or user name) |
| General LOB | 936 | Shall provide the ability to create or manage default or predefined notes and the ability to apply these notes to a group of accounts at the same time. |
| General LOB | 937 | Shall allow OCERS staff to identify if a note has been entered for the person or organization |
| General LOB | 938 | Shall provide the ability to append new notes to existing notes based on user role |
| General LOB | 939 | Shall provide the ability to delete or modify a previous note based on user role |
| General LOB | 940 | Shall provide a single view of all notes for a member or payee. This should include notes from workflows, self-service, and any IVR and CRM interface. |
| General LOB | 941 | Shall interface with peripheral devices utilized by OCERS (e.g., printers, scanners) |
| General LOB | 942 | Shall print documents to selected printers based on a default setting or have the options to change default printer. |
| General LOB | 943 | Shall provide the ability to integrate with OCERS automated print or mail fulfillment center. |
| General LOB | 944 | Shall integrate with MS Office tools defined by OCERS for the updating, viewing, generating and reporting on the system data. |
| General LOB | 945 | Shall automatically send any solution generated output (e.g., email, letter, form, report) to the imaging solution |
| General LOB | 946 | Shall provide the ability to automatically store and index with appropriate metadata (e.g., userid, timestamp, document properties) any solution generated output generated and sent to a person or organization |
| General LOB | 947 | Shall provide the ability to print OCERS defined watermarks on official types of outputted correspondence |
| General LOB | 948 | [Shall generate all current OCERS forms and correspondence, as needed with the new solution (See RFP Attachment E - Appendix E for list of current forms and correspondence)](file:///C:\Users\ShellyPardis\AppData\Local\Microsoft\Windows\INetCache\Content.MSO\A2769343.xlsx#RANGE!_Appendix_E_–) |
| General LOB | 949 | Shall provide the ability to send correspondence or notification to one or more people or organizations based upon OCERS-defined parameters (e.g., employer, plan, class, zip code) |
| General LOB | 950 | Shall by default mask personally identifiable information identified by OCERS (e.g., \*\*\*-\*\*, -####) for all outgoing correspondence, forms, statements, stubs, online views, while providing the ability to disable masking on a field by field basis. |
| General LOB | 951 | Shall provide the ability to prepopulate correspondence with LOB data (e.g., mail merge) |
| General LOB | 952 | Shall allow user to build correspondence by selecting predefined paragraphs |
| General LOB | 953 | Shall allow user to modify pre-defined section(s) of all correspondence |
| General LOB | 954 | Shall automatically update addresses based on standard address format information received from the USPS |
| General LOB | 955 | Shall update zip codes per USPS supplied info on batch basis (e.g., in the event of zip code changes or splits by the USPS) |
| General LOB | 956 | Shall provide a view of all OCERS participant address changes that resulted from USPS update (e.g., USPS, NCOA) |
| General LOB | 957 | Shall generate mailing labels via mail merge (e.g., selected persons/organizations, by type, by employer) |
| General LOB | 958 | Shall provide the ability to select contact and/or address to be placed on mailing labels |
| General LOB | 959 | Shall provide the ability to send mail only to addresses that are not flagged as invalid USPS address |
| General LOB | 960 | Shall notify users of an invalid address when trying to generate any output |
| General LOB | 961 | Shall have the ability to either generate and print a blank or pre-filled form |
| General LOB | 962 | Shall provide the ability for staff to modify forms and letter or form (template) text without programming, based on user role |
| General LOB | 963 | Shall generate views of required reports and queries as required by OCERS and the new LOB solution. (See Appendix for list of current reports) |
| General LOB | 964 | Shall provide all of the functionality and information contained in the current OCERS reports, queries, letters, forms, and exports (See Appendix for available counts) |
| General LOB | 965 | Shall produce a formatted report from any view in the LOB solution |
| General LOB | 966 | Shall provide the ability to create and save user generated dashboards or reports (ad-hoc reporting) in the LOB solution and schedule automated generation of the report as needed. |
| General LOB | 967 | Shall provide the ability to run report(s) on a recurring basis |
| General LOB | 968 | Shall support the development of parameter driven reports in the line of business application, where the report variables and format are programmatically controlled and certain values are selected (or required) by the user at the time the report is generated |
| General LOB | 969 | Shall provide the ability to add new custom views to the report menu for easy access |
| General LOB | 970 | Shall provide the ability to view requested output on the screen prior to printing |
| General LOB | 971 | Shall provide the ability to select one or more reports for printing on demand |
| General LOB | 972 | Shall include detailed metadata on all reports (e.g., Detailed heading information, program that generates the report, unique name for the report, user who generated, parameters used to generate the report, and the date of the running of the report) |
| General LOB | 973 | Shall ensure all views conform to the Americans with Disabilities Act and applicable State of California statutes |
| General LOB | 974 | Shall provide the ability to adjust font and window sizes |
| General LOB | 975 | Shall provide the ability to implement language localization for multiple languages |
| General LOB | 976 | Shall provide the ability to see data associated with multiple functional areas at the same time. |
| General LOB | 977 | Shall provide the ability for OCERS to enter a freeform text advisory message that is visible to everyone when they log into the LOB solution |
| General LOB | 978 | Shall provide the ability for OCERS, via a view, to update any message (e.g., error, information) that the solution will display or print |
| General LOB | 979 | Shall provide a message update view, showing the current message and new message on views, correspondences, forms or reports that will be affected by the update |
| General LOB | 980 | Shall fully support a remote (work from home) model for all solution functionality (e.g., call center, workflow processing) |
| General LOB | 981 | Shall ensure the solution meets or exceeds OCERS privacy standards |
| General LOB | 982 | Shall provide the ability to select and view flagged accounts based on parameter entered by OCERS (e.g., reason type, date, member, user ID) |
| General LOB | 983 | Shall provide the ability to integrate and securely share information in real-time between the LOB solution and other governmental entities and organizations (See Appendix for current interfaces) |
| General LOB | 984 | Shall automatically provide mandatory federal and state regulation solution updates |
| General LOB | 985 | Shall utilize the same client language across all interfaces, UIs, and output as defined by OCERS |
| General LOB | 986 | Shall provide the ability to change the solution labels and field text (e.g. on any UI screen) to reflect OCERS business terms |
| General LOB | 987 | Shall provide the ability to hide the solution labels and fields (e.g. on any UI screen) that do not apply to OCERS |
| General LOB | 988 | Shall provide the ability to have the user configure their 360-degree view (e.g. components to include and sizing of components) based on their role |
| General LOB | 989 | Shall ensure the proposed solution's displays, self-service, portals, output (e.g. letters, forms, reports, email) should all be in standard United States English. |
| General LOB | 990 | Shall ensure the proposed solution's displays, self-service, portals, internal and external should all function similarly. |
| General LOB | 991 | Shall provide the ability to configure a 360-degree view (e.g. components to include and sizing of components) to a default base predefine OCERS role |
| General LOB | 992 | Shall have the ability to create dashboards based on job function (e.g. managerial, call center) |
| General LOB | 993 | Shall provide the ability to identify and report on any individual sent to collections |
| General LOB | 994 | Shall prevent correspondence from being sent to an invalid address |
| General LOB | 995 | Shall prominently display all flags and warnings on an account to ensure internal staff awareness (e.g. near top of member's record, display in different color). |
| General LOB | 996 | Shall provide the ability to system generate communications based on a members or employers preferred method of communication, including email. |
| General LOB | 997 | Shall provide user guide or knowledge base link within each LOB screen |
| General LOB | 998 | Shall provide the ability to create ad hoc reporting for various cycles (e.g. weekly, monthly, quarterly, annually) for configurable data points. (e.g. monthly death reporting, monthly retirement reporting, annual over and underpayment reporting, monthly metric reporting) |
| General LOB | 999 | Shall not time out when actively entering a note on an account to allow for proper saving of the note. |
| General LOB | 1000 | Shall provide automated responses (e.g. AI chatbot) and FAQs for common questions about OCERS key business process. |
| General LOB | 1001 | Shall provide pre-defined templates for standard communications, with the ability to configure and personalize as needed. |
| General LOB | 1002 | Shall have the ability to handle exception processes for cases requiring manual review or intervention. |
| General LOB | 1003 | Shall tie unique user (e.g., power of attorney, guardian, or conservator) system access to the member that is identified as such in the system and updates tracked as being done by the power of attorney, guardian, or conservator. |
| General LOB | 1004 | Shall provide the ability to process a file including calculations received from the actuary. |
| General LOB | 1005 | Shall produce a file in standard, nonproprietary formats (e.g., PDF, word, csv, excel) from any view in the LOB solution |
| General LOB | 1006 | Shall provide the ability for the solution to leverage data to forecast future outcomes, identify trends, and provide specific and understandable recommendation or alerts for staff to take action (e.g., predictive analytics). |
| General Technical | 1007 | Shall process standard jobs (e.g., payroll, interest posting, 1099-R generation) within an acceptable timeframe during normal business hours, without impacting overall system performance. |
| General Technical | 1008 | Shall comply with the latest Web Content Accessibility Guidelines (WCAG) established by the World Wide Web Consortium (W3C). |
| General Technical | 1009 | Shall support single sign-on (SSO) across all system components. |
| General Technical | 1010 | Shall provide an updated data dictionary and data model at the start of the project and after each release. |
| General Technical | 1011 | Shall store all OCERS pension administration data, accommodating a projected annual membership growth of 5%. |
| General Technical | 1012 | Shall support a minimum of 500 with annual growth 5% total concurrent users. |
| General Technical | 1013 | Shall provide a modular architecture, such as a composable architecture, defined by modular components, seamless interoperability, reusability, and the ability to easily assemble, disassemble, and reconfigure components to meet evolving business needs and technological advancements. |
| General Technical | 1014 | Shall display a progress indicator for any window or process expected to take longer than 5 seconds to load. |
| General Technical | 1015 | Shall support both IPv4 and IPv6 network protocols. |
| General Technical | 1016 | Shall operate on a currently supported technology stack. |
| General Technical | 1017 | Shall operate on a currently supported web platform. |
| General Technical | 1018 | Shall use a currently supported database management system (DBMS). |
| General Technical | 1019 | Shall continuously support the current release and at least one prior stable release of all technology components and systems. |
| General Technical | 1020 | Shall utilize the current version of application development frameworks (e.g. Java, .NET). |
| General Technical | 1021 | Shall comply with OCERS policies and security management requirements. |
| General Technical | 1022 | Shall use industry-standard API protocols to integrate with system components (e.g., ECM, CRM, Contact Center, Fraud) while ensuring secure, well-documented, and interoperable data exchange. |
| General Technical | 1023 | Shall ensure that any on-premises components are VMware-compatible and can be fully migrated to a cloud environment. |
| General Technical | 1024 | Shall provide all necessary system environments as agreed to by OCERS (e.g., including development, configuration, testing, training, other non-production environments). |
| General Technical | 1025 | Shall include a demo or sandbox environment with the base product, capable of executing end-to-end processes on the latest release (e.g. testing and validating workflows before deployment). |
| General Technical | 1026 | Shall ensure a consistent look, feel, functionality, and terminology across all user interfaces (e.g., Member Self-Service, Internal, Employer). |
| General Technical | 1027 | Shall provide automated scripts and written procedures for loading, configuring, and building all environments. |
| General Technical | 1028 | Shall ensure that all infrastructure components are configured, operational, and compliant with OCERS security and configuration requirements before being used for development or production. |
| General Technical | 1029 | Shall have the infrastructure verified by the OCERS technical staff prior to using for any non-production or production activities. |
| General Technical | 1030 | Shall provide a schematic and network diagram for the proposed infrastructure. |
| General Technical | 1031 | Shall ensure that all hardware, software licenses, warranties, and support contracts are registered in OCERS name. |
| General Technical | 1032 | Shall provide a summary of the maintenance/support end dates and renewal costs for all hardware, software licenses, warranties, and support contracts at least 12 months prior to their expiration if required as part of the proposed solution components. |
| General Technical | 1033 | Shall build and deploy all environments using automated processes. |
| General Technical | 1034 | Shall implement and maintain best practice backup, recovery, and restore activities (e.g. real-time replication, offline backups, regular automated backups, immutable backups, secure offsite storage, routine testing of recovery procedures, detailed documentation) to ensure system data integrity and rapid restoration. |
| General Technical | 1035 | Shall provide the ability to have integration across all parts of the PAS with an AI assistant to answer questions based on OCERS defined knowledge sources. |
| General Technical | 1036 | Shall provide the ability to hand off the interaction with an AI Assistant to a live agent with conversation history. |
| General Technical | 1037 | Shall provide the ability for an AI assistant to help submit and process transactions or updates. (e.g. <OCERS> to specify which transactions) |
| General Technical | 1038 | Shall provide the ability for AI assistant that can provide answers across all components of the proposed solution using context from OCERS-controlled knowledge sources. |
| General Technical | 1039 | Shall provide the ability to have seamless integration across all components of the proposed solution with future machine learning or AI capabilities. |
| General Technical | 1040 | Shall use digital signatures within the solution or via integration with third-party providers (e.g., DocuSign, Adobe Sign) and ensure compliance with the California Uniform Electronic Transactions Act (UETA). |
| General Technical | 1041 | Shall allow OCERS to perform our own backups of the data contained within the proposed solution(s). |
| General Technical | 1042 | Shall provide an annual report of the technology stack and the versions that are currently deployed for OCERS. This is to include an acknowledgement that technology stack is running on the current version or one version prior of all software. |
| General Technical | 1043 | Shall provide a documented exit strategy in case of termination of cloud services. |
| General Technical | 1044 | Shall allow for the full extraction of data, configurations, and historical records in a structured format. |
| General Technical | 1045 | Shall provide migration support to an alternative cloud provider as needed. |
| General Technical | 1046 | Shall ensure access to system logs, reports, and historical audit trails post-transition. |
| General Technical | 1047 | Shall be accessible through a web-based interface without requiring additional client-side software installation. |
| General Technical | 1048 | Shall ensure users can access the system from any location with an internet connection. |
| General Technical | 1049 | Shall maintain an average system response time of under 3 seconds for standard user interactions under normal operating conditions. |
| General Technical | 1050 | Shall not exceed acceptable thresholds agreed upon with OCERS, for complex transactions or batch processes. |
| General Technical | 1051 | Shall identify any areas where the performance standards (e.g., thresholds, response times) cannot be met and provide justification and optimization measures or alternative solutions for OCERS approval. |
| General Technical | 1052 | Shall maintain an auditable record of system configuration changes (e.g. software updates, security patches, workflow changes, business rules) |
| General Technical | 1053 | Shall track failed transactions, errors, and system alerts with appropriate logging and resolution tracking. |
| General Technical | 1054 | Shall support forensic investigations by providing detailed tracking of historical user actions. |
| General Technical | 1055 | Shall require source code escrow, as described in the attached OCERS Service Agreement. |
| Health Insurance and Deduction Processing | 1056 | Shall provide a 24x7 web-based solution in which deduction vendor/employer can report, correct and update their deductions. Allowance can be made for a small maintenance window to take down the health insurance administrator self-service application. |
| Health Insurance and Deduction Processing | 1057 | Shall provide the ability for the solution to validate data for health insurance deductions or grants in real time |
| Health Insurance and Deduction Processing | 1058 | Shall allow appropriate edits and corresponding error messages to validate deduction files when submitted online |
| Health Insurance and Deduction Processing | 1059 | Shall provide the ability to edit a single record (add, change or delete) associated with an existing report that has not been posted |
| Health Insurance and Deduction Processing | 1060 | Shall allow multiple deductions per payee per reporting period |
| Health Insurance and Deduction Processing | 1061 | Shall prevent a deduction for a member who has a suspended benefit |
| Health Insurance and Deduction Processing | 1062 | Shall provide the ability to configure limits on how many deduction reports are imported per reporting period |
| Health Insurance and Deduction Processing | 1063 | Shall automatically calculate the payment that is due the deduction vendor/employer |
| Health Insurance and Deduction Processing | 1064 | Shall provide a view for a deduction vendor/employer that shows a listing of all reports received and summary data given a date range |
| Health Insurance and Deduction Processing | 1065 | Shall have the ability to provide messages and alerts to vendor and employer online |
| Health Insurance and Deduction Processing | 1066 | Shall provide the ability to send deduction vendor and employer a communication as defined by OCERS |
| Health Insurance and Deduction Processing | 1067 | Shall provide the ability for OCERS to view (read-only) the same view as the deduction vendor or employer to help resolve questions |
| Health Insurance and Deduction Processing | 1068 | Shall provide the ability to create a detail and summary report of all insurance vendor and employer reporting (e.g. totals, error) |
| Health Insurance and Deduction Processing | 1069 | Shall provide deduction vendor and employer FAQs; and a detailed user guide to OCERS |
| Health Insurance and Deduction Processing | 1070 | Shall provide the ability for OCERS to display messages to all health deduction vendor or employer, or selected deduction vendor and employer, by entering in the message once via a view |
| Health Insurance and Deduction Processing | 1071 | Shall provide a view showing all messages by OCERS defined parameter (e.g., message category, deduction vendor and employer, person) |
| Health Insurance and Deduction Processing | 1072 | Shall maintain multiple files for a given reporting period for a single deduction vendor and employer and have the ability to combine |
| Health Insurance and Deduction Processing | 1073 | Shall notify deduction vendor and employer if the payee's retirement benefit will not cover all the deductions for the next month |
| Health Insurance and Deduction Processing | 1074 | Shall provide the ability to make mass deduction updates |
| Health Insurance and Deduction Processing | 1075 | Shall provide the ability for deduction vendor/employer or OCERS staff to manually add a deduction for a payee |
| Health Insurance and Deduction Processing | 1076 | Shall provide the ability for a deduction to be added for a payee even if benefit is not final and automatically add the deduction when payment is processed |
| Health Insurance and Deduction Processing | 1077 | Shall provide the ability to track and off-set under or over paid deductions |
| Imaging | 1078 | Shall convert and migrate existing images and image indexes as required to meet the bidder's proposed solution. |
| Imaging | 1079 | Shall automatically keep the LOB and Imaging System index values in sync (e.g. if a document is re-indexed) |
| Imaging | 1080 | Shall ensure images are easily accessible and visible throughout the new proposed solution. |
| Imaging | 1081 | Shall provide full-text search capabilities using OCR-processed documents. |
| Imaging | 1082 | Shall provide the ability to associate documents related to one individual with another corresponding contact (e.g., an organization, another person). |
| Imaging | 1083 | Shall allow incoming documents to be automatically linked to an in-process workflow. |
| Imaging | 1084 | Shall provide the ability to view documents by type (e.g., correspondence, proofs, disability, and other batch classes) and any indexed value |
| Imaging | 1085 | Shall migrate, and if necessary, convert existing images to the bidder's proposed solution. |
| Imaging | 1086 | Shall store all scanned documents in the bidder-proposed repository. |
| Imaging | 1087 | Shall provide a scalable document and content storage |
| Imaging | 1088 | Shall provide the ability to upload, store, view, and edit documents and images, while preserving native formats, fonts, graphics, and other properties (e.g., Microsoft Office files, PDFs). |
| Imaging | 1089 | Shall automatically identify and classify different document types, saving them as separate images for efficient retrieval and management. |
| Imaging | 1090 | Shall have the ability to view redacted document and original document based on security roles. |
| Imaging | 1091 | Shall provide the ability to track who has accessed a document (e.g., username, date, time). |
| Imaging | 1092 | Shall allow authorized users to redact information within documents while preserving the original unaltered version. |
| Imaging | 1093 | Shall enable automated archiving or purging of documents based on configurable retention rules defined by OCERS. |
| Imaging | 1094 | Shall store all scanned documents in a consistent format (e.g., PDF or TIFF). |
| Imaging | 1095 | Shall provide the ability to integrate with OCERS microfilm management system to import microfilm documents on both a bulk and ad hoc basis |
| Imaging | 1096 | Shall allow authorized users to delete, restrict visibility, or replace documents, requiring justification comments and triggering an approval workflow. |
| Imaging | 1097 | Shall provide the ability for electronic markup (annotations) on the document including the ability to track the user and date/time, without altering the original document. |
| Imaging | 1098 | Shall provide the ability to access, link, and unlink associated documents from a specific workflow. |
| Imaging | 1099 | Shall provide the ability to initiate configurable workflows based on document metadata when a document is scanned and indexed. |
| Imaging | 1100 | Shall provide the ability to initiate workflows in any module (e.g. LOB), regardless of the module the document was uploaded to (e.g. web self-service). |
| Imaging | 1101 | Shall provide secure document imaging, storage, retrieval, and management within the proposed solution. |
| Imaging | 1102 | Shall provide an intuitive and user-friendly interface for scanning, indexing, and searching documents. |
| Imaging | 1103 | Shall support both bulk and single-document scanning processes with automated indexing capabilities. |
| Imaging | 1104 | Shall store all scanned documents in a standardized, non-proprietary format (e.g., PDF or TIFF). |
| Imaging | 1105 | Shall provide Optical Character Recognition (OCR) functionality to enable full-text searching of scanned documents. |
| Imaging | 1106 | Shall support integration with external content management systems (e.g., SharePoint, OnBase, FileNet). |
| Imaging | 1107 | Shall allow direct scanning from network scanners and multi-function devices without requiring third-party software. |
| Imaging | 1108 | Shall support API and web service capabilities for exchanging imaging data with external systems. |
| Imaging | 1109 | Shall allow for automated and manual indexing of imaged documents based on configurable metadata fields. |
| Imaging | 1110 | Shall provide configurable indexing templates for different document types (e.g., benefit applications, member correspondence, beneficiary designations). |
| Imaging | 1111 | Shall support barcode recognition for automatic document classification and indexing. |
| Imaging | 1112 | Shall enable users to add custom metadata to imaged documents for enhanced searchability. |
| Imaging | 1113 | Shall allow for bulk indexing and tagging of multiple documents simultaneously. |
| Imaging | 1114 | Shall allow searching by using configurable criteria (e.g. metadata, document type, date range, SSN, employee ID). |
| Imaging | 1115 | Shall support fuzzy search, wildcard search, and keyword highlighting in retrieved documents. |
| Imaging | 1116 | Shall enable retrieval of documents through direct links from member and employer records within the Pension Administration System. |
| Imaging | 1117 | Shall support version control, allowing users to track and revert to previous versions of imaged documents. |
| Imaging | 1118 | Shall allow document check-in and check-out functionality to prevent conflicts during edits. |
| Imaging | 1119 | Shall enable authorized users to add annotations and comments to imaged documents without altering the original file. |
| Imaging | 1120 | Shall support document archiving and long-term preservation strategies. |
| Imaging | 1121 | Shall support batch processing for high-volume scanning and classification. |
| Imaging | 1122 | Shall allow automated document routing for review and approval based on predefined rules. |
| Imaging | 1123 | Shall support notifications and alerts based on various document actions (e.g. new documents added, require approval, approach retention expiration). |
| Imaging | 1124 | Shall enable automated tagging and categorization using document recognition. |
| Imaging | 1125 | Shall support the previewing and viewing of documents without the use of viewer software or browser plug-ins. |
| Imaging | 1126 | Shall provide the ability to automatically identify and redact PII and PHI information in documents. |
| Imaging | 1127 | Shall display search results in a user-friendly, paginated format. |
| Imaging | 1128 | Shall display search results that include key metadata (e.g., document title, type, date, indexed fields). |
| Imaging | 1129 | Shall provide options for sorting, filtering, and refining search results. |
| Imaging | 1130 | Shall provide the total number of documents found and confidence level for each document in the search results. |
| Imaging | 1131 | Shall provide a document preview for quick viewing without requiring a full document download in the search results. |
| Imaging | 1132 | Shall allow users to open documents in their native format with a single click. |
| Imaging | 1133 | Shall provide the ability to automatically extract data from documents and enter the data into the correct fields in the system. |
| Imaging | 1134 | Shall provide the ability to automatically associate documents with the correct contact and the appropriate location within the contact’s record. |
| Imaging | 1135 | Shall provide a real-time view for monitoring the key performance indicators of the document management system (e.g. number of documents, indexing status, document ingestion rates, indexing success/failure rates, storage usage, retrieval times, user activity, workflow processing times). |
| Imaging | 1136 | Shall provide configurable alerts to proactively notify users of issues or potential problems within the document management system. |
| Imaging | 1137 | Shall provide comprehensive administration tools for the Document Management System. |
| Imaging | 1138 | Shall provide the ability to add documents to the system and associate with the correct individual from various intake points (e.g. web self-service, CRM, case management, Microsoft Outlook, Microsoft Exchange account, network scanner). |
| Imaging | 1139 | Shall provide the ability to have the system know that proof documents already exist and not require new submission for a different process (e.g. death certificate already have). |
| Member Account Maintenance | 1140 | Shall provide a view to display a member's master record including address, beneficiary information, all employment history, corresponding wage and contribution history, interest posting, service credit and withdraws (all member account transactions) |
| Member Account Maintenance | 1141 | Shall provide a view to display a retiree's master record including but not limited to address, beneficiary information, all employment history, corresponding wage and contribution history, interest posting, service credit and withdraws by class, class code history, payment history (all retiree account transactions) |
| Member Account Maintenance | 1142 | Shall provide a view to display an employee's master record and provide yearly roll-ups of transaction pay history or a single transaction pay summary line |
| Member Account Maintenance | 1143 | Shall provide the ability to print an employee's master record including address, beneficiary information, all employment history, corresponding wage and contribution history, interest posting, service credit and refunds (all employee account transactions) and select if rather than printing all transaction history just print the yearly roll-ups or a single transaction summary line |
| Member Account Maintenance | 1144 | Shall provide a view for a member’s plan history information in a single view |
| Member Account Maintenance | 1145 | Shall provide a view for a member’s employment history including employment status and corresponding dates in a single view |
| Member Account Maintenance | 1146 | Shall display any adjustment made in member’s salary, contributions, and service and display those adjustments at both the summary level and the detailed transaction level |
| Member Account Maintenance | 1147 | Shall provide the ability for OCERS to rebuild the history of a member's account if details are missing or broken out, including reversing transactions and adding new ones. All transactions, including reversals, should be viewable in the employee's transaction history. |
| Member Account Maintenance | 1148 | Shall provide the appropriate edits and validations when rebuilding a member's history (i.e. new history contributions and service credit totals equal the original total amounts |
| Member Account Maintenance | 1149 | Shall provide the ability to override edits and validations when rebuilding a member’s history (e.g., new history contributions and service credit totals are not equal to the original total amounts) |
| Member Account Maintenance | 1150 | Shall provide the ability to generate a workflow requesting secondary approval when overriding a member’s history rebuild according to security roles set by OCERS |
| Member Account Maintenance | 1151 | Shall require notes to be entered when overriding a member’s history rebuild |
| Member Account Maintenance | 1152 | Shall provide the ability to view the member's account in a summary view or multiple levels of detail |
| Member Account Maintenance | 1153 | Shall track and provide a view to OCERS for a retiree's year-to-date and retirement-to-date benefit payments |
| Member Account Maintenance | 1154 | Shall provide the ability to lock an account which will stop payments, still process updates and cash receipts |
| Member Account Maintenance | 1155 | Shall retroactive actively auto calculate selected members' accounts with that employer, if an employer upgrades their program election |
| Member Account Maintenance | 1156 | Shall provide the ability to track the status of a member's account with correct entry date per OCERS policy (e.g. enrolled, withdraw) to be defined by OCERS |
| Member Account Maintenance | 1157 | Shall accommodate retroactive active interest posting for those cases in which a withdrawal should not have been taken and is reversed |
| Member Account Maintenance | 1158 | Shall generate a view of accounts that are in deferred status with a specific dollar amount entered as a parameter after x years to notify the employee of eligibility for a withdrawal |
| Member Account Maintenance | 1159 | Shall consolidate employment history across all the employee's employers and provide in a single view |
| Member Account Maintenance | 1160 | Shall provide the ability to set a flag to indicate whether the employee will have separate calculations or suppressed member statements based on profile security roles |
| Member Account Maintenance | 1161 | Shall provide the ability to generate an account balance verification correspondence |
| Member Account Maintenance | 1162 | Shall provide the ability to auto-generate correspondence to another retirement system to request a history transfer for a member |
| Member Account Maintenance | 1163 | Shall provide the ability to respond to a member history transfer request from another retirement system. |
| Member Account Maintenance | 1164 | Shall provide the ability to record the date the recipient confirmation went out and when verification was received |
| Member Account Maintenance | 1165 | Shall provide the ability to record and update multiple-level beneficiary information (e.g. tertiary level) |
| Member Account Maintenance | 1166 | Shall provide the ability to process the California or Orange County Vital Records death reconciliation file to compare against OCERS line of business database and generate a view of matches |
| Member Account Maintenance | 1167 | Shall provide the ability to apply interest on the member account on a periodic (currently posting is bi-annual) basis |
| Member Account Maintenance | 1168 | Shall provide the ability to determine transactions that have not had interest posted against them and recalculate interest. The solution should be able to recalculate interest for a member’s account based on OCERS historical interest rate(s) |
| Member Account Maintenance | 1169 | Shall provide the ability to capture multiple legal orders by type (e.g. DRO(s), child support and other mandated deductions) |
| Member Account Maintenance | 1170 | Shall be able to notify members at every major event set by OCERS either automatically or manually (e.g. when eligible to retire x (parameter) days from their early and normal retirement eligibility date) |
| Member Account Maintenance | 1171 | Shall provide the ability to capture the date received and reciprocal information for an incoming reciprocal salary request |
| Member Account Maintenance | 1172 | Shall provide the ability to generate a view for those reciprocal salary requests not received after x (parameter to be defined by OCERS) days. |
| Member Account Maintenance | 1173 | Shall provide functionality to lock and unlock a member's account (e.g. portal access). Via this capability, an appropriately authorized user will be able to suspend an account from any payment being made |
| Member Account Maintenance | 1174 | Shall allow OCERS to associate a lock type or reason to the account |
| Member Account Maintenance | 1175 | Shall provide the ability to perform an inquiry and updates on a locked account (e.g. member portal, sensitive members), such as payroll reporting and member account maintenance will still be available to the user. If a user attempts to modify data in a locked account, a message will be displayed indicating the account is locked, by which user-id, and as of what date |
| Member Account Maintenance | 1176 | Shall provide a view of locked accounts by type based on parameters entered by OCERS |
| Member Account Maintenance | 1177 | Shall automatically initiate workflow for all locked accounts when locked account is set-up according to OCERS business rules. |
| Member Account Maintenance | 1178 | Shall provide the ability to view all accounts summarized transaction history (rather than detail account transactions) |
| Member Account Maintenance | 1179 | Shall provide a view for a member’s payment history with options for detailed or summary of payments (e.g., reflecting details of withholdings, deductions) |
| Member Account Maintenance | 1180 | Shall produce a member’s payment history in a single view |
| Member Account Maintenance | 1181 | Shall provide an interface to outside service(s) for address verification |
| Member Account Maintenance | 1182 | Shall provide the ability to generate Accounts Receivable GL when OCERS initiates a non-current adjustment |
| Member Account Maintenance | 1183 | Shall provide the ability to generate an employer or member credit when OCERS initiates a non-current adjustment |
| Member Account Maintenance | 1184 | Shall store all history of check addresses, the member’s address, and their survivor’s addresses, with effective dates ‘attached’ to all historical addresses |
| Member Account Maintenance | 1185 | Shall provide the ability to view cross reference account information (e.g., member, beneficiary, alternate payee, survivor annuitant) and display the associated account |
| Member Account Maintenance | 1186 | Shall provide the ability to adjust the amount of service credit for all members based on any type of status |
| Member Account Maintenance | 1187 | Shall have the ability to designate a member as a Rehire Retiree |
| Member Account Maintenance | 1188 | Shall have ability to receive and record rehire retiree and "extra help" |
| Member Account Maintenance | 1189 | Shall provide a view to see all of the historical COLA values for payees including any adjustments for recalculations |
| Member Account Maintenance | 1190 | Shall track and provide a view to OCERS for a retiree's year-to-date and retirement-to-date benefit payments or any date range, including details to be defined by OCERS (e.g., including pre and post-tax portions, declining balance, and other deductions) |
| Member Account Maintenance | 1191 | Shall designate an employer as primary for a member |
| Member Account Maintenance | 1192 | Shall provide the ability to interface with County records (e.g. birth, marriage certificates) |
| Member Account Maintenance | 1193 | Shall provide real-time validation of data entries to minimize errors. |
| Member Account Maintenance | 1194 | Shall provide configurable notifications to members when changes are made to their accounts. |
| Member Account Maintenance | 1195 | Shall support bulk data updates (e.g. plan change, service calculations) for administrative purposes. |
| Member Account Maintenance | 1196 | Shall allow authorized user to override member information |
| Member Account Maintenance | 1197 | Shall provide real-time synchronization of member data across integrated systems. |
| Member Account Maintenance | 1198 | Shall allow authorized users to view historical data and previous versions of member records. |
| Member Account Maintenance | 1199 | Shall include data validation checks to prevent duplicate records. |
| Member Account Maintenance | 1200 | Shall support time-stamped notes and comments on member accounts by authorized users |
| Member Account Maintenance | 1201 | Shall provide a view of member account attributes for administrators and members |
| Member Account Maintenance | 1202 | Shall provide tools or process to ensure high data accuracy and consistency through automated verification processes. |
| Member Account Maintenance | 1203 | Shall initiate a workflow for any terminating member defined by OCERS, to start the separation process including the notice of options letter |
| Member Account Maintenance | 1204 | Shall automatically generate and send pre-populated reciprocity salary request forms and required attachments per OCERS Business Rules to reciprocal retirement agencies. |
| Member Statement | 1205 | Shall provide the ability to access, generate and print member statements that contain information up to a specified date (a parameter) on demand through member self-service. |
| Member Statement | 1206 | Shall generate a member statements file for various groups (e.g. a single member, all members, members of a specified employer(s), members of a specific class or plan, members identified through a list or query) for third party vendor printing. |
| Member Statement | 1207 | Shall provide the ability to generate member statements based on their account status (e.g. active, deferred, retired) or by a parameter (e.g. single member, employer, class, status or plan, from a list or query) |
| Member Statement | 1208 | Shall provide the ability to display messages on member statements based on parameters supplied by OCERS |
| Member Statement | 1209 | Shall provide the ability to provide multiple estimates with a projected retirement date(s) on the member statement, based on parameters supplied by OCERS |
| Member Statement | 1210 | Shall provide the ability to include or suppress any member or account information on the statement as defined by OCERS (e.g. demographic, employer, status, plan, member id, pension eligibility, beneficiaries, contributions, salary info, service credit, service credit type, estimated benefit, reciprocal information) |
| Member Statement | 1211 | Shall provide the ability for OCERS staff to configure all (e.g. online and printed) member statement templates. |
| Member Statement | 1212 | Shall provide the ability to identify service credit, salary and contributions for defined periods of time on the member statement (e.g. DRO time period) |
| Member Statement | 1213 | Shall provide the ability to list all outstanding service purchases (unpaid or partially paid) for a member |
| Member Statement | 1214 | Shall provide the ability to list all outstanding invoices for a member |
| Member Statement | 1215 | Shall provide the ability for all statements to include employment history |
| Member Statement | 1216 | Shall provide the ability to list all legal orders (e.g., approved DRO, child support), tax levies, or receivables against member on statement |
| Member Statement | 1217 | Shall provide the ability to show the Required Minimum Distribution (RMD) information on member's statement |
| Member Statement | 1218 | Shall provide the ability to show Tier information on member's statement |
| Member Statement | 1219 | Shall ensure member statements only include the member persona (information) for members who have other personas in the system (e.g., receiving a survivor benefit, beneficiary for another member) |
| Member Statement | 1220 | Shall automatically send a list of incorrect addresses to the appropriate employer |
| Member Statement | 1221 | Shall provide the ability to generate statistics and/or views related to generation of member statements (e.g. generation, access, delivery status, views, downloads) |
| Member Statement | 1222 | Shall provide the ability for OCERS staff to generate a member statement |
| Member Statement | 1223 | Shall support the inclusion of images and graphical representations (e.g. charts, graphs) to visually present a member’s information. |
| Member Statement | 1224 | Shall ensure compliance with all applicable regulatory, legal, and financial reporting requirements for pension benefit statements. |
| Member Statement | 1225 | Shall provide multi-year historical access to prior Member Statements for both administrators and members. |
| Member Statement | 1226 | Shall pull real-time or scheduled batch data from the system to ensure accuracy and completeness of Member Statements. |
| Member Statement | 1227 | Shall incorporate projected retirement benefits based on configurable actuarial assumptions and scenarios. |
| Member Statement | 1228 | Shall provide a clear summary of member status and eligibility for various pension benefits. |
| Member Statement | 1229 | Shall support the inclusion of additional plan-related information, such as survivor benefits, cost-of-living adjustments (COLA), and potential payout options. |
| Member Statement | 1230 | Shall allow configurable of Member Statement layouts, branding, and messaging to align with the organization’s standards. |
| Member Statement | 1231 | Shall support configurable messages, disclaimers, and footnotes for legal and informational purposes. |
| Member Statement | 1232 | Shall provide multilingual support for Member Statements based on user preferences. |
| Member Statement | 1233 | Shall generate Member Statements in multiple formats (e.g. PDF, HTML, print-ready versions). |
| Member Statement | 1234 | Shall provide an option for members to receive their statements electronically or via mailed paper copies. |
| Member Statement | 1235 | Shall support automated notifications to members when new statements are available. |
| Member Statement | 1236 | Shall enable batch processing for large-scale generation and distribution of statements. |
| Member Statement | 1237 | Shall provide the ability to mask personally identifiable information (PII), allowing partial or full obfuscation of sensitive data elements as needed. |
| Member Statement | 1238 | Shall provide secure integration with third-party mailing services if outsourced printing and mailing are required. |
| Member Statement | 1239 | Shall support error logging and reporting for failed or incomplete statement generation. |
| Payment Processing | 1240 | Shall support different payment methods (e.g. original, replacement, check, ACH, International ACH, wire transfer) |
| Payment Processing | 1241 | Shall have the ability to disburse any payment via ACH or International ACH with valid bank routing |
| Payment Processing | 1242 | Shall allow for State and federal withholdings and reporting. |
| Payment Processing | 1243 | Shall support various deductions from any type of cash disbursement made in the system (e.g., IRS levy, legal orders) |
| Payment Processing | 1244 | Shall provide the ability to reissue checks and ACH (e.g. lost, destroyed checks, stolen, stale dated) |
| Payment Processing | 1245 | Shall record all types of stop payments, including the date of stop payment and a reason for the stop payment |
| Payment Processing | 1246 | Shall provide the ability to notify Wells Fargo of stop payments |
| Payment Processing | 1247 | Shall provide the ability to process returned payments (e.g., checks and ACH deposits) |
| Payment Processing | 1248 | Shall provide the ability for OCERS to provide a parameter indicating the timeframe in which a check is stale dated |
| Payment Processing | 1249 | Shall interface with banks to reconcile and report on status of checks |
| Payment Processing | 1250 | Shall provide the ability to notify OCERS of any ACH rejects |
| Payment Processing | 1251 | Shall provide the ability to identify an address as invalid if a check is returned |
| Payment Processing | 1252 | Shall notify check recipient if their check is returned (undelivered) |
| Payment Processing | 1253 | Shall initiate workflow to contact payee if ACH is rejected |
| Payment Processing | 1254 | Shall have the ability to enter expedited payment information into the system (i.e., information for one-time special checks, checks needed immediately) |
| Payment Processing | 1255 | Shall provide the ability for OCERS to produce payments as needed or on a schedule |
| Payment Processing | 1256 | Shall provide the ability to generate a workflow requesting secondary approval for expedited payment |
| Payment Processing | 1257 | Shall capture and maintain rollover related information (e.g., taxable and non-taxable dollars, specific amount to be rolled, financial institution information, standard disbursement information) |
| Payment Processing | 1258 | Shall provide the ability for the payment recipient to receive their stub on-line through the web self service |
| Payment Processing | 1259 | Shall provide the ability to identify duplicate payments where two or more payments of the same amount are made in a given month |
| Payment Processing | 1260 | Shall provide query capability for any payment attribute and resulting view for auditing payments (e.g. multiple payments to account, number of checks to a particular address) |
| Payment Processing | 1261 | Shall notify recipient of a reissued payment and reason |
| Payment Processing | 1262 | Shall produce views identifying the monthly journal entries posted to GL and a summary of all payments including taxes and adjustments |
| Payment Processing | 1263 | Shall notify the affected financial institutions of ACH-related concerns and issues, including any recalls |
| Payment Processing | 1264 | Shall provide an aging view of checks, by type, that have not been cashed |
| Payment Processing | 1265 | Shall notify a payment recipient of an uncashed check based on an OCERS-specified number of months uncashed parameter |
| Payment Processing | 1266 | Shall provide a view of cash disbursement information that is needed to complete bank reconciliation processes |
| Payment Processing | 1267 | Shall produce, at the conclusion of every check run, a view of the number of checks sent to be printed and the total amount of all checks to be printed |
| Payment Processing | 1268 | Shall provide the ability to notify a payee who moves out of California that state taxes will no longer be withheld |
| Payment Processing | 1269 | Shall provide the ability to combine all linked accounts onto one payment |
| Payment Processing | 1270 | Shall save all payment types that are in process, and provide the ability to retrieve and update the incomplete record(s) once additional data is received |
| Payment Processing | 1271 | Shall provide the ability to add free format and predefined comments to remittance advice based on user-defined parameter (e.g. all checks, individual check, COLA, by benefit type) |
| Payment Processing | 1272 | Shall provide the ability for “bulk” changes in bank routing numbers (supporting bank mergers) for direct deposit |
| Payment Processing | 1273 | Shall aggregate payroll deductions of the same type and issue payment to the appropriate entity |
| Payment Processing | 1274 | Shall provide recipient of payroll deductions a register of payees and deduction amounts |
| Payment Processing | 1275 | Shall provide OCERS the ability to control order of deductions |
| Payment Processing | 1276 | Shall provide the ability to view the deductions not taken due to insufficient funds |
| Payment Processing | 1277 | Shall notify administrator if a deduction is not taken due to insufficient funds |
| Payment Processing | 1278 | Shall create an export file of bank transactions (payments) and related GL journal entries to be imported into OCERS accounting system |
| Payment Processing | 1279 | Shall support zero and positive check amounts but only produce checks with positive check amount |
| Payment Processing | 1280 | Shall generate a view that identifies any negative net check amount |
| Payment Processing | 1281 | Shall provide the ability to make a payment to a third party or vendor based on OCERS business rules |
| Payment Processing | 1282 | Shall provide the ability to suspend an account from any payment being made when account is locked |
| Payment Processing | 1283 | Shall provide the ability to remove selected checks from check run prior to printing |
| Payment Processing | 1284 | Shall provide the ability to apply legal order(s) to any payee |
| Payment Processing | 1285 | Shall support a reconciliation process against OCERS accounting system for all payment transactions |
| Payment Processing | 1286 | Shall generate check and ACH numbers in proposed solution and provide to check processor |
| Payment Processing | 1287 | Shall provide the ability to interface with OCERS bank to provide benefit payment details |
| Payment Processing | 1288 | Shall provide the ability to set up test payments in a test environment before being ran in production. |
| Payment Processing | 1289 | Shall provide the ability to void a check/ACH payment. |
| Payment Processing | 1290 | Shall provide the ability to reissue a payment with a different payment method (e.g. check to ACH) |
| Payroll Processing | 1291 | Shall provide the ability to calculate and refund contributions and interest as a rollover to other external accounts and use proper tax coding for reporting purposes (e.g., partial contributions that were originally pensionable but deemed non-pensionable). |
| Payroll Processing | 1292 | Shall apply a new pension benefit automatically depending on the retirement program, the payment options chosen and other applicable life events |
| Payroll Processing | 1293 | Shall control the addition and deletion of individuals from payroll depending on life events (e.g., death, divorce, disability, return to work, retirement) |
| Payroll Processing | 1294 | Shall calculate federal and state withholding tax (based on a fixed dollar amount, percentage, or current tax tables) and update the taxable amount to be deducted from benefit checks |
| Payroll Processing | 1295 | Shall maintain more than one benefit account for a payee, (e.g., annuitant, beneficiary, survivor) |
| Payroll Processing | 1296 | Shall provide the ability for an individual to get multiple pensions (e.g., DRO, survivor) |
| Payroll Processing | 1297 | Shall accommodate multiple bank accounts for multiple payments per payee in a single payroll run |
| Payroll Processing | 1298 | Shall accommodate combination of checks and direct deposit for multiple payments |
| Payroll Processing | 1299 | Shall calculate and issue retroactive active payments to a benefit recipient |
| Payroll Processing | 1300 | Shall calculate tax levies and child support payments and apply and update payments (percentages or fixed dollar amount), and pass on funds to appropriate institution or individual |
| Payroll Processing | 1301 | Shall maintain payroll status types (e.g., suspended, on hold) and codes |
| Payroll Processing | 1302 | Shall remove the account from pay status once amounts have been satisfied (e.g., legal order) |
| Payroll Processing | 1303 | Shall suspend a benefit payment and release when applicable |
| Payroll Processing | 1304 | Shall support a reconciliation process against OCERS accounting system for all payroll transactions (to be performed after payroll validation) |
| Payroll Processing | 1305 | Shall produce a notification if a net payment will be negative |
| Payroll Processing | 1306 | Shall support the entry of federal and state tax withholding for a future date and implement the change with the benefit payroll corresponding to the disbursement date |
| Payroll Processing | 1307 | Shall provide the ability to suspend and reactivate and/or reinstate a benefit recipient's payroll record |
| Payroll Processing | 1308 | Shall handle retroactive active payments and disburse them in the same payment method as the previous payment |
| Payroll Processing | 1309 | Shall provide the ability for initial retirement payment to be paid retroactive active to the retirement effective date |
| Payroll Processing | 1310 | Shall provide the ability, in the case of overpayment, to request repayment by benefit recipient in lump sum or apply temporary reduction in benefit as needed to recoup the overpayment within user-defined number of months |
| Payroll Processing | 1311 | Shall produce a view showing all detailed benefit payment information (current and historical) for each electronic transfer and direct deposit or “paper” check initiated (e.g., check number, payment type and date, gross payment amount, net payment amount, deduction amounts, and deduction payee) |
| Payroll Processing | 1312 | Shall produce a comprehensive view showing all changes that took effect since previous month’s pension payroll (additions, deletions, modifications, old amount vs. new amount, changes in tax withholding, name changes, COLAs) |
| Payroll Processing | 1313 | Shall notify the retiree every time there is a change in the payment amount |
| Payroll Processing | 1314 | Shall prohibit reissuance of any lump sum payment unless original payment is voided |
| Payroll Processing | 1315 | Shall link information in the case where a payee is receiving multiple payments so that users can view all the benefits together |
| Payroll Processing | 1316 | Shall maintain yearly gross payment amount, taxable amount, deductions, excludable amounts, allocations, distribution codes for 1099R and 1042s reporting |
| Payroll Processing | 1317 | Shall adjust a monthly benefit payment amount to recover disability and retirement overpayments until the debt is satisfied |
| Payroll Processing | 1318 | Shall provide a view showing all benefit recipients (parameter to define sequence; e.g., by benefit type, employer, plan and rate group) |
| Payroll Processing | 1319 | Shall provide a view showing new benefit payments for the month, with OCERS ID number, name, address, type of retirement, and gross benefit amount |
| Payroll Processing | 1320 | Shall provide the ability to allow an off-cycle payment prior to the end of month check file |
| Payroll Processing | 1321 | Shall provide the ability to calculate DROs, child support, and other mandated deductions from the pension payroll |
| Payroll Processing | 1322 | Shall provide a detail and summary view of payment details pertaining to each benefit disbursement including but not limited to, disability, death payments, annuity, pension, COLA and STAR COLA |
| Payroll Processing | 1323 | Shall combine initial benefit with re-retirement benefit into single remittance advice |
| Payroll Processing | 1324 | Shall provide the ability for payee deduction out of the retirement payment |
| Payroll Processing | 1325 | Shall continue to pay out legacy payments and details (e.g. pre and post-tax) and upon conversion |
| Payroll Processing | 1326 | Shall provide the ability to run a trial payroll before running final payroll |
| Payroll Processing | 1327 | Shall provide the ability to automatically recover overpaid deductions (e.g. taxes, health insurance) |
| Payroll Processing | 1328 | Shall have the ability to change or split a retroactive active payment to different payees (e.g. employer, attorney) |
| Payroll Processing | 1329 | Shall provide the ability to notify retiree when there is a change in gross benefit amount generated by an OCERS user due to a required change/update |
| Post Implementation Support | 1330 | Shall provide a stabilization period of 30 business days between any external release, prior to starting work for the next stages. |
| Post Implementation Support | 1331 | Shall provide a designated account manager and escalation contacts to ensure efficient issue resolution. |
| Post Implementation Support | 1332 | Shall ensure that post implementation support personnel have been identified and approved by OCERS at least two months prior to entering the post implementation support period. |
| Post Implementation Support | 1333 | Shall provide real-time status tracking of reported issues and service requests. |
| Post Implementation Support | 1334 | Shall ensure that all updates are tested for compatibility with system configuration and integrations before deployment. |
| Post Implementation Support | 1335 | Shall provide detailed release notes and impact assessments for all system updates. |
| Post Implementation Support | 1336 | Shall provide the ability to roll back to the previous version. |
| Post Implementation Support | 1337 | Shall provide real-time monitoring of system performance, including application response time and database performance. |
| Post Implementation Support | 1338 | Shall provide periodic performance reports and recommendations for optimization. |
| Post Implementation Support | 1339 | Shall provide root cause analysis (RCA) for recurring and/or critical issues. |
| Post Implementation Support | 1340 | Shall provide temporary workarounds for critical issues until permanent solutions are implemented. |
| Post Implementation Support | 1341 | Shall provide recommendations on improvements to OCERS operations (e.g., identifying bottlenecks, efficiency gains) and recommending system configuration adjustments and workflow improvements. |
| Post Implementation Support | 1342 | Shall assist with resolving integration issues between the PAS and external systems such as payroll, financial management, and third-party service providers. |
| Post Implementation Support | 1343 | Shall provide assistance with modifying or extending system functionality based on changing pension administration needs. |
| Post Implementation Support | 1344 | Shall ensure that system customizations remain functional following software updates or patches. |
| Post Implementation Support | 1345 | Shall provide guidance on best practices for system configuration and parameter adjustments. |
| Post Implementation Support | 1346 | Shall provide the ability for OCERS to modify or extend system functionality (co-development) per business needs. |
| Post Implementation Support | 1347 | Shall provide ongoing support for data imports, exports, and interfaces with other enterprise systems. |
| Post Implementation Support | 1348 | Shall ensure that system performance is not negatively impacted by data growth over time. |
| Post Implementation Support | 1349 | Shall provide a transition plan for migrating from post-implementation support to standard operational support. |
| Post Implementation Support | 1350 | Shall ensure that all support documentation, including known issues and resolutions, is up to date and accessible to OCERS. |
| Post Implementation Support | 1351 | Shall notify the organization at least 6 months in advance before making any changes to the support model. |
| Refund | 1352 | Shall refund contributions and purchased service, creating appropriate tax records, reducing service credit according to the amount refunded, and voiding any outstanding purchases of service |
| Refund | 1353 | Shall maintain a view and track of items that need to be completed for a refund to be issued |
| Refund | 1354 | Shall place on hold any refund request where employer has not notified OCERS of member's deferred date |
| Refund | 1355 | Shall deny refund request unless member as defined OCERS has met deferred status for all OCERS employers |
| Refund | 1356 | Shall provide automated processing for contributory refunds, non-contributory refunds and survivor refunds |
| Refund | 1357 | Shall calculate and display the amount to be refunded and the service credit, if applicable, as well as the records in the employees account that will be refunded |
| Refund | 1358 | Shall allow for "real-time" validations and the return of entry errors where applicable |
| Refund | 1359 | Shall automatically stop a withdrawal from being processed based on pending transactions to be defined by OCERS (e.g. if an employee has an application for enrollment and membership, disability or retirement on file, pending divorce, child support, outgoing reciprocity) prior to processing a refund request |
| Refund | 1360 | Shall provide the ability to split the refunded amount between the member and one or more financial institutions (rollover) based on pre- and post-tax |
| Refund | 1361 | Shall provide the appropriate account status for an account that has been refunded as defined by OCERS |
| Refund | 1362 | Shall calculate separation amount for former member who never met eligibility rules and credit the employer for the amount employer contributed (ERs) |
| Refund | 1363 | Shall provide ability to generate correspondence based off on actions within the refund process |
| Refund | 1364 | Shall withhold mandatory federal and optional California state tax deduction based OCERS business rules from refunds of contributions not rolled over to tax sheltered accounts as determined by the Internal Revenue Service |
| Refund | 1365 | Shall provide the ability to refund group of members if that employer switches from pensionable to non-pensionable including interest for members (e.g. full or partial amounts) |
| Refund | 1366 | Shall have the ability for an account is reviewed by another user id prior to issuing refund check per OCERS business rules |
| Refund | 1367 | Shall provide the ability to suspend the payment of a refund until the final wage information is received from the employer; then automatically recalculate refund and release for payment |
| Refund | 1368 | Shall automatically notify member based on a date parameter entered by OCERS informing the member that if they wait x months (parameter) they are eligible to receive interest, if they postpone taking the refund |
| Refund | 1369 | Shall automatically generate notification informing the member that they are eligible to receive a retirement benefit if they do not take the refund |
| Refund | 1370 | Shall notify the member if refund request is denied |
| Refund | 1371 | Shall provide the ability to generate all refund documents (pre-populated with system data) |
| Refund | 1372 | Shall display the employee’s most recent employer(s) information (e.g., employer name, employer number) |
| Refund | 1373 | Shall allow direct deposit (e.g. national and international) for all refunds or rollovers |
| Refund | 1374 | Shall provide a view of all people who have taken a refund given a date range (parameter), by employer or all employers (parameter), by type |
| Refund | 1375 | Shall provide the ability to allow an advanced payment prior to the normal cadence of payment files |
| Refund | 1376 | Shall provide the ability for a member to roll-over a single account if they have multiple accounts |
| Refund | 1377 | Shall refund the account interest according to OCERS statutes/rules |
| Refund | 1378 | Shall adjust refunds and generate payments for legal orders (e.g. DROs, child support, and other mandated deductions) from the refund |
| Refund | 1379 | Shall provide the ability to suspend or prevent payment and notify OCERS if there is an underpayment in process |
| Refund | 1380 | Shall support rollover disbursements where the member can request a payment and correspondence be generated to a qualified plan |
| Refund | 1381 | Shall ensure that no payments are made unless all transmittal files are process and have been reconciled for that member |
| Refund | 1382 | Shall automatically process additional refunds after the initial refund if additional information is received |
| Refund | 1383 | Shall provide the ability to perform a refund estimate including tax deductions based on a future termination date |
| Refund | 1384 | Shall provide the ability to save and name their refund estimate |
| Refund | 1385 | Shall automatically generate an estimate for the member if they are applying for withdrawal |
| Refund | 1386 | Shall notify deferred member per IRS RMD rules |
| Refund | 1387 | Shall automatically calculate and generate a refund for a deferred member when they reach the age specified by IRS RMD rules and allow conditions when this should be a manual process. |
| Refund | 1388 | Shall have the ability to notify a deferred member who does not meet minimum balance requirement as defined by OCERS and has been inactive for x years of mandatory refund policy |
| Refund | 1389 | Shall flag members who have been counseled prior to processing refund |
| Refund | 1390 | Shall notify OCERS staff to contact member if member counseled flag is not set |
| Refund | 1391 | Shall have the ability to calculate interest compound for any transaction accrued based on OCERS business rules |
| Refund | 1392 | Shall provide a view of participants who are in refund status but new payroll records have come in |
| Retirement Application | 1393 | Shall provide the ability to apply for retirement online (self-service) or by submitting a pre-populated paper application if needed |
| Retirement Application | 1394 | Shall provide the ability to prevent an online retirement application more than x days before the first eligible retirement date |
| Retirement Application | 1395 | Shall provide the ability to create a retirement application from a current or saved estimate (using the options selected) if member is eligible or within X days of eligibility |
| Retirement Application | 1396 | Shall inform the user entering the retirement application of relevant conditions they should be aware of (e.g. eligibility status, inactive membership, service credit purchase opportunities, withdraw (refunded) status, prior retirement, concurrent employment) |
| Retirement Application | 1397 | Shall ensure real-time integration between the pension and benefits modules to provide a unified online retirement application based on OCERS-defined rules. |
| Retirement Application | 1398 | Shall determine eligibility for all retirement plans and classifications (e.g. base plan, police, fire). |
| Retirement Application | 1399 | Shall determine eligibility for all types of retirement (e.g. service retirement, disability retirement). |
| Retirement Application | 1400 | Shall determine the retirement options available to the member or retiree (e.g. immediate retirement, deferred retirement, withdrawal of funds). |
| Retirement Application | 1401 | Shall notify the member of any conditions that may impact their retirement benefit. |
| Retirement Application | 1402 | Shall notify the member of any outstanding amounts owed to OCERS |
| Retirement Application | 1403 | Shall alert the member if a benefit estimate has not been generated within X timeframe relative to their retirement eligibility date. |
| Retirement Application | 1404 | Shall provide an intuitive, guided process for members to complete retirement applications, ensuring all required fields are completed and all necessary documents are uploaded (e.g., payment method, beneficiary designation, payment option selection, tax withholding, health insurance selections) based on OCERS business rules. |
| Retirement Application | 1405 | Shall provide a workflow with an automatic and dynamic electronic checklist that informs members of the required documents based on their selected retirement application type |
| Retirement Application | 1406 | Shall verify and cross-reference the termination date provided on the retirement application against the termination date and/or wage data transmitted by the employer |
| Retirement Application | 1407 | Shall send automated updates to members at key milestones and status changes in the retirement application process (e.g. Received, In-Process, Approved, Canceled, Denied) |
| Retirement Application | 1408 | Shall notify the member of any missing documents or required information (including termination and retirement status) x days (parameter) prior to retirement date with continuous notification at intervals of x (parameter) including cancellation of application |
| Retirement Application | 1409 | Shall provide the ability to automatically add new beneficiaries for various benefit types (e.g. Lump Sum, Death, Retirement Options) based on information entered in the online retirement application. |
| Retirement Application | 1410 | Shall notify the member if their retirement application has been denied, including the reasons for denial (e.g. disability retirement denial). |
| Retirement Application | 1411 | Shall provide the ability to update certain member data with new information received with application (e.g., address, email address, name change, beneficiary) |
| Retirement Application | 1412 | Shall enable real-time edits and validations during retirement application processing (e.g. eligibility checks, termination date verification) according to OCERS business rules. |
| Retirement Application | 1413 | Shall allow authorized users to update or override member data related to a retirement based on their role. |
| Retirement Application | 1414 | Shall require users to enter notes whenever an override is performed. |
| Retirement Application | 1415 | Shall initiate a workflow for secondary approval on any retirement update or override, based on user role, except when performed by a manager. |
| Retirement Application | 1416 | Shall initiate a secondary workflow to the health insurance department to notify the employer that a retirement application has been received. |
| Retirement Application | 1417 | Shall support various payment methods (e.g. direct deposit, paper check) for retirements and related payments (e.g. lump sum payment). |
| Retirement Application | 1418 | Shall capture, update, and validate member information in real-time (e.g. bank account, mailing address, email address). |
| Retirement Application | 1419 | Shall withhold mandatory and/or optional tax deduction from a retirement as selected by the member |
| Retirement Application | 1420 | Shall allow for only one active retirement application at a time |
| Retirement Application | 1421 | Shall provide the ability to automatically update the due date to the retirement date on any active Service Purchase contracts, if applicable, and send notification to the member |
| Retirement Application | 1422 | Shall allow members to cancel a retirement application at any time before final submission and processing. |
| Retirement Application | 1423 | Shall allow reinstatement of a member's account within an OCERS-defined timeframe if a retirement has been set up but no payment has been issued. |
| Retirement Application | 1424 | Shall provide the ability to revoke a retirement that has been finalized based on OCERS business rules |
| Retirement Application | 1425 | Shall re-establish member account when retirement is revoked based on OCERS business rules |
| Retirement Application | 1426 | Shall re-establish remaining member account when disability retirement is revoked |
| Retirement Application | 1427 | Shall create an invoice and calculate interest for all money paid out to the retiree when revoking a retirement |
| Retirement Application | 1428 | Shall provide a view of all people in process of applying for retirement or who retired based on parameters defined by OCERS (e.g., date range, by employer or all employers, by type, by processor) |
| Retirement Application | 1429 | Shall flag a member's account when a Domestic Relations Order (DRO) is on file during the retirement application process, notify internal staff accordingly, and prominently display this information to ensure staff awareness. |
| Retirement Application | 1430 | Shall notify member of unpaid repayment of benefits received during eligible period of employment with an OCERS employer |
| Retirement Application | 1431 | Shall provide a view displaying retirement application metrics (e.g. number of applications submitted, application completion rate, processing time, number of applications not completed with reasons why), based on OCERS-defined parameters (e.g. date range, employer). |
| Retirement Application | 1432 | Shall automatically populate fields in the retirement application with existing member information (e.g., name, service history) and allow members to edit information. |
| Retirement Application | 1433 | Shall provide dynamic forms that adapt based on the type of retirement (e.g., service retirement, disability retirement) or member-specific criteria. |
| Retirement Application | 1434 | Shall allow members to securely preview uploaded documents required documents and confirm accuracy (e.g. proof of age, beneficiary information, tax forms). |
| Retirement Application | 1435 | Shall provide a progress tracker with clear status updates via email and web self-service (e.g., Application Received, Under Review, Approved) |
| Retirement Application | 1436 | Shall display statuses for each stage of the application to the member in web self-service. |
| Retirement Application | 1437 | Shall provide staff with a comprehensive dashboard to view, sort, and prioritize all submitted applications. |
| Retirement Application | 1438 | Shall automate verification of eligibility criteria (e.g. age, service credit, contribution history). |
| Retirement Application | 1439 | Shall provide retirement application error detection by highlighting incomplete or inconsistent information for staff review. |
| Retirement Application | 1440 | Shall allow for configurable workflows for retirement application processes, including multiple levels of review and approval. (Retirement Application/Workflow) |
| Retirement Application | 1441 | Shall have the ability to assignment and tasks retirement application to the appropriate staff based on roles, workload, and expertise. |
| Retirement Application | 1442 | Shall automatically validate the and completeness of uploaded documents. |
| Retirement Application | 1443 | Shall maintain version history and control of all applications and documents uploaded or modified during the application process. |
| Retirement Application | 1444 | Shall provide internal notifications to staff (e.g. pending tasks, upcoming deadlines, pending applications). |
| Retirement Application | 1445 | Shall include tools for processing and tracking disability retirement applications, with required medical documentation. |
| Retirement Application | 1446 | Shall provide retirement application notifications via email, SMS, or portal messages based on member preferences. |
| Retirement Application | 1447 | Shall provide insights into member demographics related to the filing of retirement applications (e.g. age, years of service, plan type). |
| Retirement Application | 1448 | Shall automatically track average processing times at each stage of the retirement application process to identify bottlenecks. |
| Retirement Application | 1449 | Shall allow the member to start the retirement application process, save their progress, and return to complete the application at a later time. |
| Retirement System Transfer | 1450 | Shall calculate service credit based on a specified date range (e.g., for estimates). |
| Retirement System Transfer | 1451 | Shall automatically generate and send pre-populated reciprocity forms to reciprocal retirement agencies. (e.g. 1004/ISMA) |
| Retirement System Transfer | 1452 | Shall automatically generate and send a notification (e.g. email, letter) to the member upon reciprocity decision approval. |
| Retirement System Transfer | 1453 | Shall support the addition of full employment history from reciprocal retirement agencies. |
| Retirement System Transfer | 1454 | Shall generate detailed reciprocity history reports, with filters based on OCERS specifications (e.g., by retirement agency, department, member, date). |
| Retirement System Transfer | 1455 | Shall allow reciprocal retirement agencies to submit reciprocity forms online via the web self-service portal. |
| Retirement System Transfer | 1456 | Shall allow manual corrections and overrides of reciprocity details and amounts |
| Retirement System Transfer | 1457 | Shall provide the ability to recalculate reciprocity transactions as needed. |
| Retirement System Transfer | 1458 | Shall provide the ability to aggregate reciprocity data from multiple retirement agencies (e.g. updates to age, member affidavit reviews). |
| Retirement System Transfer | 1459 | Shall support secure electronic exchange of reciprocal service data (e.g. member identifiers, service periods, salaries, contributions). |
| Retirement System Transfer | 1460 | Shall provide the ability to store reciprocal service agreements, including associated terms, conditions, and participating agencies. |
| Retirement System Transfer | 1461 | Shall include validation checks to ensure the accuracy and completeness of reciprocal data exchanged between systems. |
| Retirement System Transfer | 1462 | Shall allow for configurable rules to handle variations in reciprocal business rules (e.g. service credit calculations, vesting requirements, salary limits, common non-pensionable items). |
| Retirement System Transfer | 1463 | Shall provide tools to compare, analyze, and apply the terms of multiple reciprocal agreements to individual member scenarios. |
| Retirement System Transfer | 1464 | Shall calculate total service credit across reciprocal systems for retirement eligibility and benefit determinations. |
| Retirement System Transfer | 1465 | Shall prorate service credits and benefits according to the rules of the applicable reciprocal agreements and available data |
| Retirement System Transfer | 1466 | Shall calculate contributions, interest, and benefit amounts for reciprocal service periods based on each agency's defined benefit formulas. |
| Retirement System Transfer | 1467 | Shall provide a view summarizing reciprocal service data, including member service credit summaries and inter-agency transactions. |
| Retirement System Transfer | 1468 | Shall notify appropriate users of pending reciprocal service actions, such as data requests or verification tasks. |
| Retirement System Transfer | 1469 | Shall provide notifications to members when reciprocal service data is received, processed, or updated. |
| Retirement System Transfer | 1470 | Shall support configurable workflows for processing reciprocal service requests, including custom approval paths and notifications. |
| Retirement System Transfer | 1471 | Shall allow for configurable updates to reciprocal rules without vendor involvement. |
| Retirement System Transfer | 1472 | Shall include testing tools to simulate reciprocal service scenarios for validation and training purposes. |
| Retirement System Transfer | 1473 | Shall assign a unique identifier to all reciprocity cases for tracking purposes. |
| Security | 1474 | Shall consistently apply the same security policies, procedures, and practices across all application environments. |
| Security | 1475 | Shall integrate with OCERS Identity and Access Management (IAM) solution and support Single Sign-On (SSO) to enable employees to seamlessly log in to all components of the solution. |
| Security | 1476 | Shall provide a customer identity access management (CIAM) solution for all users of the web self-service system(s) (e.g. members, payees, employers, partners, benefits providers). |
| Security | 1477 | Shall track, log, and provide a view of all system access (e.g., users, application programming interfaces (APIs), other interfaces), based on parameters defined by OCERS (e.g., ID, date and time, IP address and location, screens accessed, data modified). |
| Security | 1478 | Shall provide the ability to display OCERS approved notifications on the login screen for all users (e.g. upcoming maintenance, special announcements). |
| Security | 1479 | Shall provide the ability to display OCERS approved notifications on a post login screen based on user type and role (e.g. internal staff, member, employer) or user status (e.g. pending action items, tailored content). |
| Security | 1480 | Shall provide a secure CIAM-based registration process for first-time web self-service users. |
| Security | 1481 | Shall allow web self-service users to create their own username during the CIAM registration process within OCERS-defined parameters. |
| Security | 1482 | Shall provide the ability to perform electronic and digital identity verification with third-party services (e.g., LexisNexis, Veratad), granting access to verified users while blocking access to untrusted, unauthorized, and suspicious login attempts. |
| Security | 1483 | Shall provide modern authentication methods (e.g. multi-factor authentication (MFA), security key, magic links) for all logins to any system component. |
| Security | 1484 | Shall allow a web self-service user to reset their password after successfully verifying their identity. |
| Security | 1485 | Shall support various password policies based on user roles (e.g., self-service, internal staff). |
| Security | 1486 | Shall support OCERS-defined password policy requirements, while adhering to industry-standard password best practices (e.g. password length, complexity, expiration). |
| Security | 1487 | Shall automatically notify a web self-service user (e.g. email confirmation) of a change in login information (e.g. username, password). |
| Security | 1488 | Shall automatically send notifications to old and new addresses (email or mailing) whenever an address (email or mailing) is changed by a self-service user or OCERS. |
| Security | 1489 | Shall verify that an email address belongs to the user whenever a new address is added, or an existing address is updated. |
| Security | 1490 | Shall verify that a phone number belongs to the user whenever a new number is added, or an existing number is updated. |
| Security | 1491 | Shall prevent access and lock an account after a certain number of unsuccessful login attempts as defined by OCERS. |
| Security | 1492 | Shall provide the ability to enforce additional levels of authentication or restrict access in high-risk scenarios, as defined by OCERS (e.g., logins from suspicious locations, low-cost VPN networks, when a user attempts to log in from an unknown device, suspected fraudulent logins, abnormal login patterns). |
| Security | 1493 | Shall provide the ability to notify web self-service users if their account has been logged into under unusual circumstances (e.g. from an unrecognized device, from an unfamiliar IP address, after multiple failed login attempts, from an unusual location, at an unusual time). |
| Security | 1494 | Shall provide OCERS staff the ability to reset a web self-service user's password and require them to re-enroll in multi-factor authentication (MFA). |
| Security | 1495 | Shall provide OCERS staff the ability to lock and unlock access for a web self-service user. |
| Security | 1496 | Shall require a reason to be selected or entered when locking and unlocking access for a web self-service user. |
| Security | 1497 | Shall provide the ability to log in using one-time passcodes (OTP). |
| Security | 1498 | Shall automatically logoff users due to session inactivity based on OCERS defined parameters. |
| Security | 1499 | Shall prevent a terminated session from being restarted without requiring re-authentication. |
| Security | 1500 | Shall provide the ability to set the length of session inactivity timeout per user type (e.g., internal, web self-service user). |
| Security | 1501 | Shall provide a warning notification to users before the session timeout occurs, and allow the user to extend the session, as defined by OCERS parameters. |
| Security | 1502 | Shall provide the ability to restrict access to the system from OCERS-approved IP addresses for certain user roles. |
| Security | 1503 | Shall provide the ability to automatically lock access based on user role (e.g. internal, member, partner) after a specified period of account inactivity (e.g., 3 months, 6 months) as defined by OCERS, and require the user to complete an account recovery/reactivation process before regaining access. |
| Security | 1504 | Shall enforce segregation of duties and access permissions for users and interfaces (e.g., APIs) through role-based access control (RBAC). |
| Security | 1505 | Shall provide the ability to manage user groups in the system including, but not limited to, creation, permissions assigned, assignment of users and interfaces (e.g., APIs) to groups, as defined by OCERS. |
| Security | 1506 | Shall allow a user account (single login ID) to be a member of multiple groups or have multiple roles. |
| Security | 1507 | Shall enable an internal user assigned to multiple roles to perform all operations for each assigned role once the user has been authenticated. |
| Security | 1508 | Shall allow a web self-service user with multiple roles (e.g., member, beneficiary) to seamlessly access all relevant information in a single authentication session without requiring them to re-login under a different account/role. |
| Security | 1509 | Shall provide security access based on the principle of least privilege, which states that users and interfaces (e.g., APIs) are granted the minimum privileges necessary to conduct their assigned tasks. |
| Security | 1510 | Shall provide the ability to create read-only role-based accounts in all proposed solution components to support audit activities. |
| Security | 1511 | Shall establish and maintain security and access permissions (e.g., create, read, update, delete) for various elements of the system (e.g. per screen, per workflow, per document, per script, per data field) for users accessing data through the solution, those with direct database-level access, or access from integrated systems. |
| Security | 1512 | Shall have the ability to establish and maintain data level security and access permissions for users accessing data through the solution (e.g., create, read, update, delete). |
| Security | 1513 | Shall establish and maintain data level security and access permissions for direct database level access of LOB database and/or from integrated systems (e.g., create, read, update, delete). |
| Security | 1514 | Shall support database table and row level security for read and write operations, providing the ability to execute at multiple levels (e.g., by location and then department) and update over time. |
| Security | 1515 | Shall support field-level security for read and write operations, providing the ability to execute at multiple levels (e.g., by location and then department) and update over time. |
| Security | 1516 | Shall support the masking, or partial masking, of sensitive data at the field-level (e.g. PII, PHI). |
| Security | 1517 | Shall provide the ability to archive cold data to reduce the risk of data exposure, while ensuring that archived data can be restored promptly and securely if needed. |
| Security | 1518 | Shall provide the ability to migrate production data to other environments (e.g. user acceptance testing, training) using tools and techniques to ensure the protection of the data (e.g., data masking, anonymization, pseudonym replacement). |
| Security | 1519 | Shall protect and return all OCERS data and metadata at the termination of the contract according to the contract terms and conditions. |
| Security | 1520 | Shall not store authentication credentials, personally identifiable information or other sensitive data in application code. |
| Security | 1521 | Shall automatically scan file uploads and attachments to detect and block malicious content. |
| Security | 1522 | Shall provide a summary view of all users and interfaces (e.g. APIs) with their current roles and security permissions. |
| Security | 1523 | Shall provide a detailed view of all users and interfaces (e.g. APIs) including a user's history of access, roles, and security permissions. |
| Security | 1524 | Shall enable generation of full and incremental reports highlighting changes to user roles and permissions within an OCERS-defined timeframe (e.g. last 30 days, last 90 days). |
| Security | 1525 | Shall provide a report that details system administrator and privileged ID activity, including actions performed, timestamps, and affected systems, to ensure accountability and security. |
| Security | 1526 | Shall provide a report on system usage patterns (e.g. metrics such as login frequency, peak usage times, user activity trends), to support performance monitoring and security analysis. |
| Security | 1527 | Shall provide the ability to report on user behavior and provide alerts on suspicious user behavior. |
| Security | 1528 | Shall provide the ability to automatically lock a web self-service account based on suspicious behavior or alerts. |
| Security | 1529 | Shall generate alerts for access to sensitive accounts (e.g. privileged accounts, flagged accounts, high profile individual accounts). |
| Security | 1530 | Shall produce standardized security and audit logs sufficient for OCERS to comply with privacy and security regulations. |
| Security | 1531 | Shall produce standardized security and audit logs sufficient for OCERS to comply with internal data loss prevention policies. |
| Security | 1532 | Shall ensure that all components of the proposed solution meet or exceed the security requirements defined by OCERS throughout the lifetime of the system. |
| Security | 1533 | Shall ensure the security, confidentiality, integrity, and availability of participant information in accordance with all applicable laws and regulations. |
| Security | 1534 | Shall adhere to OCERS policy requirements (e.g., privacy policy, terms of use, assurance levels) for all system access. |
| Security | 1535 | Shall maintain a comprehensive information security policy that safeguards OCERS data by ensuring its confidentiality, integrity, and availability, while adhering to industry best practices and applicable regulations. |
| Security | 1536 | Shall provide notification to OCERS of changes that may negatively impact the confidentiality, integrity, and availability of OCERS data and the services provided to OCERS. |
| Security | 1537 | Shall provide notification to OCERS of any changes that impact OCERS security requirements and/or applicable laws and regulations. |
| Security | 1538 | Shall ensure all OCERS customer data shall be stored, processed, and maintained exclusively within the United States. |
| Security | 1539 | Shall ensure that vendor personnel (e.g., employees, contractors, consultants) may only access OCERS data that has been appropriately anonymized (e.g., scrambled, sanitized, de-identified), unless otherwise authorized by OCERS |
| Security | 1540 | Shall implement all legally required security measures and exercise due care to protect OCERS data from threats (e.g. malware, unauthorized access, data loss). |
| Security | 1541 | Shall ensure that OCERS retains continuous ownership of all its data and metadata, regardless of where or how it is stored, transmitted, or processed within the vendor’s systems. |
| Security | 1542 | Shall ensure strict data segregation in the cloud to prevent unauthorized access. |
| Security | 1543 | Shall ensure all data at rest within the proposed systems is encrypted using strong, current industry-standard encryption algorithms (e.g. AES-256). |
| Security | 1544 | Shall ensure all data in transit between system components, third-party systems, users, and interfaces (e.g. APIs) is encrypted using strong, current industry-standard encryption protocols (e.g. TLS 1.3). |
| Security | 1545 | Shall provide OCERS with a copy of security documentation as specified by OCERS upon request throughout the contract term. |
| Security | 1546 | Shall provide the ability to require web self-service users to acknowledge and consent to various policies (e.g., Terms of Use, Privacy Policy) during the account registration process and future account logons as specified by OCERS. |
| Security | 1547 | Shall support automated employee account creation and deletion via SSO provisioning and deprovisioning to ensure timely access and removal of privileges. |
| Security | 1548 | Shall provide the ability to perform real-time validation of a caller's phone number by leveraging trusted third-party phone number verification solutions (e.g., LexisNexis Phone Finder, Telesign, Veriphone) to ensure secure identity confirmation and prevent fraud. |
| Security | 1549 | Shall provide the ability to perform real-time validation and analysis of a user's email address by leveraging trusted third-party email risk assessment solutions (e.g. LexisNexis Emailage, TransUnion TruValidate, SEON), ensuring secure identity confirmation and fraud prevention. |
| Security | 1550 | Shall provide the ability to perform real-time analysis of various data points (e.g., device, location, IP address, behavioral analytics, anomaly detection) by leveraging trusted third-party digital identity, fraud prevention, and account takeover prevention solutions (e.g., LexisNexis ThreatMetrix, TransUnion TruValidate, IDology, Socure, SEON) to ensure secure identity verification, fraud prevention, and account takeover prevention. |
| Security | 1551 | Shall provide the ability to perform real-time validation and analysis of a user's bank account by leveraging trusted third-party bank account verification solutions (e.g., Plaid, Trulioo, Finicity, BankVerify) to ensure the account is valid, active, and accurately associated with the correct account holder. |
| Security | 1552 | Shall provide the ability for a user to upload official records (e.g. driver's license, passport, birth certificate, marriage certificate) and perform real-time validation of the records authenticity by leveraging trusted third-party record verification solutions (e.g. Trulioo, LexisNexis, IDology, Socure) to ensure the record is authentic and valid to prevent fraud. |
| Security | 1553 | Shall ensure OCERS data is logically or physically separated from other customers' data to prevent data leakage and unauthorized access between tenants. |
| Security | 1554 | Shall apply data anonymization and pseudonymization techniques to protect personal data where appropriate, reducing the risk of exposure if the data is compromised. |
| Security | 1555 | Shall provide the ability to mask, redact, and/or remove certain Personally Identifiable Information (PII) or Personal Health Information (PHI) from on-screen views and printable reports per OCERS-defined parameters. |
| Security | 1556 | Shall provide the ability to set policies and controls for data retention per OCERS-defined parameters. |
| Security | 1557 | Shall provide OCERS with the ability to securely delete data that OCERS determines is no longer needed. |
| Security | 1558 | Shall provide OCERS with the ability easily export the organization's data, ensuring OCERS can retrieve its data in a usable format within a reasonable period of time. |
| Security | 1559 | Shall maintain active cyber insurance through the entire life of the contract with OCERS. |
| Security | 1560 | Shall provide the ability for OCERS to stream all security, access, and audit logs to OCERS Security Information and Event Management (SIEM) tool in real-time. |
| Security | 1561 | Shall ensure all API calls are authenticated and authorized to prevent unauthorized access to data and services. |
| Security | 1562 | Shall implement protections against abuse of the API, such as rate limiting and throttling, to prevent denial-of-service (DoS) attacks. |
| Security | 1563 | Shall assess and monitor all third-party sub processors to ensure they meet the same security and privacy standards as the primary vendor. |
| Security | 1564 | Shall be responsible for all costs associated with remediating vulnerabilities in the vendor's proposed solution. |
| Security | 1565 | Shall have the ability to link different accounts (e.g. employer, partner, payee, vendor, organization) and automate account lock based on account status or employment changes. |
| Security | 1566 | Shall support modern authentication standards, including OAuth 2.0 and OpenID Connect (OIDC), to secure access to APIs. |
| Security | 1567 | Shall use secure token-based authentication (e.g., JSON Web Tokens - JWT) to validate session authenticity. |
| Security | 1568 | Shall encrypt all data in API requests and responses. |
| Security | 1569 | Shall provide the ability to integrate with an API Gateway for centralized API security, rate-limiting, and monitoring. |
| Security | 1570 | Shall enforce rate limiting and throttling to prevent denial-of-service (DoS) attacks. |
| Security | 1571 | Shall validate API requests against predefined schemas to detect anomalies. |
| Security | 1572 | Shall log all API access and actions for auditing purposes, with sensitive data masked in logs. |
| Security | 1573 | Shall continuously adhere to the OWASP Top 10 API Security guidelines. |
| Security | 1574 | Shall include version control for APIs to prevent changes from negatively impacting system functionality. |
| Security | 1575 | Shall provide clear communications (e.g., policies, timelines, required actions) for API updates and deprecations. |
| Security | 1576 | Shall include secure mechanisms to manage and rotate API keys for third-party integrations. |
| Security | 1577 | Shall include mechanisms to assess and report on risks when integrating with third-party systems. |
| Security | 1578 | Shall provide mechanisms to bypass throttling for internal or trusted consumers under specific circumstances. |
| Security | 1579 | Shall have built-in failover capabilities to ensure high availability. |
| Security | 1580 | Shall provide comprehensive, up-to-date documentation highlighting secure API usage. |
| Security | 1581 | Shall provide a secure developer portal for testing APIs in a sandbox environment. |
| Security | 1582 | Shall differentiate between privileged and non-privileged accounts. |
| Security | 1583 | Shall enforce role-based access control (RBAC) for privileged accounts to ensure users can only access data and functionality within their scope of responsibility. |
| Security | 1584 | Shall require privileged accounts to use unique credentials, separate from standard user accounts. |
| Security | 1585 | Shall require multi-factor authentication (MFA) for all privileged account access. |
| Security | 1586 | Shall enforce strong password policies for privileged accounts, including complexity, expiration, and reuse limitations. |
| Security | 1587 | Shall support Just-In-Time (JIT) access provisioning to grant temporary privileged access based on specific tasks. |
| Security | 1588 | Shall provide the ability to monitor and record all privileged user sessions, including commands and activities performed. |
| Security | 1589 | Shall support session termination for inactive or unauthorized privileged user sessions. |
| Security | 1590 | Shall provide real-time alerts for anomalous privileged account activity. |
| Security | 1591 | Shall provide fine-grained access control to restrict administrative permissions based on context (e.g., time, location, device). |
| Security | 1592 | Shall maintain an audit trail of all privileged account activities, including access, actions taken, and changes made. |
| Security | 1593 | Shall provide pre-configured and configurable reports on privileged access activity for audit and compliance purposes. |
| Security | 1594 | Shall retain audit logs for a configurable period in compliance with OCERS and regulatory requirements. |
| Security | 1595 | Shall integrate with industry-standard Privileged Access Management tools (e.g., CyberArk, BeyondTrust, or Thycotic). |
| Security | 1596 | Shall support APIs for integration with existing identity and access management (IAM) systems. |
| Security | 1597 | Shall include secure, auditable "break glass" procedures for emergency privileged access during critical situations. |
| Security | 1598 | Shall restrict emergency access to pre-approved personnel and log all associated activities. |
| Security | 1599 | Shall provide tools for demonstrating compliance with privileged access management requirements during audits. |
| Security | 1600 | Shall provide comprehensive training and documentation on managing privileged access securely within the system. |
| Security | 1601 | Shall include best practices for privileged access management in their documentation. |
| Security | 1602 | Shall follow a secure software development lifecycle (Secure SDLC), incorporating security practices at every stage, including design, development, testing, and deployment. |
| Security | 1603 | Shall comply with industry-recognized secure development standards (e.g. OWASP ASVS (Application Security Verification Standard). |
| Security | 1604 | Shall continuously adhere to the OWASP Top 10 Web Application Security guidelines. |
| Security | 1605 | Shall conduct static and dynamic application security testing (SAST/DAST) on the application codebase before releases. |
| Security | 1606 | Shall validate all input from users and external sources to prevent common vulnerabilities and attacks (e.g. SQL injection, cross-site scripting (XSS), command injection). |
| Security | 1607 | Shall sanitize all outputs displayed to users to prevent the execution of malicious scripts. |
| Security | 1608 | Shall follow best practices for input and output handling, including enforcing strict data formats and lengths. |
| Security | 1609 | Shall utilize use data integrity checks (e.g. checksums, hashes, range checks) to ensure data has not been altered or tampered with. |
| Security | 1610 | Shall protect Personally Identifiable Information (PII) and Personally Identifiable Health Information (PHI) in compliance with applicable regulations (e.g. CCPA, GDPR, HIPAA). |
| Security | 1611 | Shall comply with security standards relevant to public pension systems (e.g. NIST 800-53, NIST CSF, CIS Controls, ISO/IEC 27001). |
| Security | 1612 | Shall have the ability to flag an account for security purposes (e.g., fraud, elder abuse) |
| Security | 1613 | Shall provide the ability to block system access from specified locations or countries based on configurable geographic restrictions and IP filtering. |
| Security | 1614 | Shall provide visibility into concurrent logins. |
| Security | 1615 | Shall provide real-time monitoring and alerting for suspicious or unauthorized activities. |
| Security | 1616 | Shall implement network-level security controls to protect the customer environment (e.g., firewalls, intrusion detection/prevention systems (IDS/IPS), and network segmentation). |
| Security | 1617 | Shall enforce physical security measures for data centers (e.g., access control, surveillance, and environmental safeguards). |
| Security | 1618 | Shall apply security controls appropriate for virtualized and cloud environments (e.g., Cloud Security Alliance (CSA) Cloud Controls Matrix (CCM)). |
| Security | 1619 | Shall provide the ability to send physical confirmation letters to members/survivors/payees when various personal information is changed (e.g., address, direct deposit information, tax withholding). |
| Service Credit Calculation | 1620 | Shall automatically calculate service credit according to OCERS business rules and policies |
| Service Credit Calculation | 1621 | Shall automatically calculate service credit for full time, part time, seasonal, and temporary members based on plan rules |
| Service Credit Calculation | 1622 | Shall automatically calculate service credit for all classes of members (e.g. county, firefighters and Orange County Transit Authority) in based on hours worked per pay period |
| Service Credit Calculation | 1623 | Shall automatically adjust service as a result of a withdrawal |
| Service Credit Calculation | 1624 | Shall adjust service based on pay period adjustments submitted by employers |
| Service Credit Calculation | 1625 | Shall enforce limits to ensure that no more than one year of service credit is granted within a calendar year, even in cases of concurrent employment. |
| Service Credit Calculation | 1626 | Shall provide the ability to adjust historical service as needed (e.g., data conversion, reporting errors) |
| Service Credit Calculation | 1627 | Shall generate appropriate correspondence if service is adjusted for a member |
| Service Credit Calculation | 1628 | Shall identify persons on employer transmittal who do not qualify for service credit |
| Service Credit Calculation | 1629 | Shall grant service credit on a bi-weekly pay period basis (26 or 27 pay periods per year). |
| Service Credit Calculation | 1630 | Shall automatically calculate and allocate service credit upon completion of a service credit purchase based on OCERS rules |
| Service Credit Calculation | 1631 | Shall provide the ability to calculate proportional service credit for firefighters (e.g. alternate schedules) |
| Service Credit Calculation | 1632 | Shall provide the ability to calculate service credit for Orange County Transit Authority (OCTA) drivers. |
| Service Credit Calculation | 1633 | Shall cap service at 80 hours per bi-weekly reporting |
| Service Credit Calculation | 1634 | Shall allow for configuration of multiple service credit types (e.g., earned, purchased, granted, transferred). |
| Service Credit Calculation | 1635 | Shall apply service credit calculations consistently based on plan provisions, employment classifications, and contribution records. |
| Service Credit Calculation | 1636 | Shall track service credit at multiple levels, including yearly, monthly, bi-weekly and daily, to support precision in benefit calculations. |
| Service Credit Calculation | 1637 | Shall provide validation rules to ensure adjustments align with plan provisions. |
| Service Credit Calculation | 1638 | Shall maintain historical service credit adjustments for compliance, reporting, and member dispute resolution. |
| Service Credit Calculation | 1639 | Shall differentiate between types of leaves (e.g., FMLA, military, disability) and apply appropriate service credit rules. |
| Service Credit Calculation | 1640 | Shall automatically grant or deny service credit based on OCERS business rules. |
| Service Credit Calculation | 1641 | Shall allow for retroactive active service credit adjustments upon return from leave or disability status changes. |
| Service Credit Calculation | 1642 | Shall provide a way to automate the analysis of service credit calculations and provide results in a view for authorized users. |
| Service Credit Purchase | 1643 | Shall support the processing of service credit purchases based on OCERS Statutes, Constitutional Provisions, and Administrative Rules |
| Service Credit Purchase | 1644 | Shall provide the ability for a member to identify eligible service purchase(s), their available options, and submit applications online. |
| Service Credit Purchase | 1645 | Shall provide the ability for a member to pay for a purchase of service online or through payroll deduction |
| Service Credit Purchase | 1646 | Shall capture and validate requests for service credit purchase cost calculations or updates, ensuring that incomplete or inaccurate requests cannot be submitted. |
| Service Credit Purchase | 1647 | Shall provide the ability to duplicate a service credit purchase request for ease of processing. |
| Service Credit Purchase | 1648 | Shall generate notifications throughout the purchase of service process (e.g. acknowledgment of application receipt, missing information requests, missing documentation, ineligibility notifications, payment confirmations, amount received) |
| Service Credit Purchase | 1649 | Shall accommodate different types of service credit purchases and be able to distinguish them on the member's account |
| Service Credit Purchase | 1650 | Shall calculate the amount and associated cost of service credit a member is eligible to purchase. |
| Service Credit Purchase | 1651 | Shall support multiple purchases and enforce the order in which they need to be purchased (e.g. military, withdrawn). |
| Service Credit Purchase | 1652 | Shall maintain a detailed history of all withdrawals in the member account, so that when the member elects to purchase service related to a historical refund, the system shall automatically calculate the cost of the purchase and, upon receipt of payment, automatically restore the account. |
| Service Credit Purchase | 1653 | Shall provide a view that displays service credit purchase attributes (e.g. employer, purchase type, plan details). |
| Service Credit Purchase | 1654 | Shall provide real-time data validation and edits for entries made by OCERS regarding purchase of service (e.g., must be within x days of retirement) |
| Service Credit Purchase | 1655 | Shall allow for multiple member or employer payment options (e.g., a lump sum payment, installments, payroll deductions, rollovers, multiple payments, or a combination thereof) and calculate associated costs (e.g. interest for installments). |
| Service Credit Purchase | 1656 | Shall record and track each transaction detail (e.g., by agency, by dept, by member, by date) for each member payment (e.g. transaction date, effective date, remitted amount). |
| Service Credit Purchase | 1657 | Shall accept qualified incoming rollover payments from financial institutions and require tax certification for a member's service purchase |
| Service Credit Purchase | 1658 | Shall provide the ability to collect payments and apply service credit incrementally for partial payments or in full upon complete payment. |
| Service Credit Purchase | 1659 | Shall track all service credit purchase payments and determine taxable or non-taxable (e.g., taxable contributions, rollover funds, before tax or after tax) |
| Service Credit Purchase | 1660 | Shall allow cancellation of an in-progress service credit purchase and provide refunds for payments made to date and interest if applicable |
| Service Credit Purchase | 1661 | Shall maintain a history of individual service credit purchases applied for based on OCERS-defined parameters (e.g. by agency, department, member, date). |
| Service Credit Purchase | 1662 | Shall automatically generate correspondence when a payment is missed after a configurable number of days. |
| Service Credit Purchase | 1663 | Shall provide a summary view of the total amount due for service credit purchases, the amount paid to date and early payoff amount |
| Service Credit Purchase | 1664 | Shall provide a view of Service Credit Purchases (e.g., report listing all satisfied or outstanding purchase agreements, report listing any outstanding purchase receivable against the employer) |
| Service Credit Purchase | 1665 | Shall provide the ability to notify the employer to suspend the payroll deduction for service credit purchases that need to be suspended. |
| Service Credit Purchase | 1666 | Shall ensure that service credit granted for military leave matches the member’s classification at the time of departure for active duty. |
| Service Credit Purchase | 1667 | Shall grant service credit for purchased service |
| Service Credit Purchase | 1668 | Shall complete the processing of service credit purchases before the initial retirement benefit payment is issued. |
| Service Credit Purchase | 1669 | Shall provide the ability to withdraw (refund) excess purchase of service payments |
| Service Credit Purchase | 1670 | Shall provide the ability to adjust the cost or number of bi-weekly payments for service credit purchases. |
| Service Credit Purchase | 1671 | Shall flag a member’s account when a service credit purchase agreement is active and the member applies for benefits. |
| Service Credit Purchase | 1672 | Shall notify member if purchase agreement is in effect and no money is received after x (parameter) days |
| Service Credit Purchase | 1673 | Shall notify the qualified plan administrator when funds are requested for transfer to cover a service credit purchase. |
| Service Credit Purchase | 1674 | Shall provide the ability for a member to view the cost and benefits of a service credit purchase before completing the transaction. |
| Service Credit Purchase | 1675 | Shall automatically reassign service impacted by a purchase and calculate any additional costs (e.g. transitioning from PEPRA to Legacy). |
| Service Credit Purchase | 1676 | Shall provide the ability for the solution to determine the member’s plan and apply the appropriate rate for service credit purchase calculations. |
| Service Credit Purchase | 1677 | Shall provide the ability to complete an SCP at no cost for Legacy Safety members that have reached 30 years of service |
| Service Credit Purchase | 1678 | Shall provide the ability to do non-service purchase contracts that do not impact member eligibility for a benefit |
| Service Credit Purchase | 1679 | Shall have the ability to determine member eligibility for purchasing service credits based on configurable rules (e.g. employment history, service periods, plan policies). |
| Service Credit Purchase | 1680 | Shall automatically validate and authenticate supporting documentation submitted by members for service credit purchase eligibility. |
| Service Credit Purchase | 1681 | Shall provide administrators with tools to review, approve, or reject service credit purchase requests based on eligibility criteria. |
| Service Credit Purchase | 1682 | Shall calculate the cost of purchasing service credits using configurable formulas that consider various factors (e.g. salary, contributions, interest rates, actuarial assumptions). |
| Service Credit Purchase | 1683 | Shall allow administrators to override or adjust service credit purchase costs manually, with appropriate documentation. |
| Service Credit Purchase | 1684 | Shall generate and present detailed cost breakdowns to members (e.g. principal, interest, total payment amounts). |
| Service Credit Purchase | 1685 | Shall integrate with payment processing systems to accept payments for service credit purchases, including online payment options (e.g., ACH). |
| Service Credit Purchase | 1686 | Shall support installment payment plans, including configurable payment schedules and automatic reminders for upcoming payments. |
| Service Credit Purchase | 1687 | Shall track all payments made toward service credit purchases and provide members with a payment history. |
| Service Credit Purchase | 1688 | Shall automatically update service credit balances upon full or incremental payment of purchase costs. |
| Service Credit Purchase | 1689 | Shall notify members of key updates in the service credit purchase process (e.g. eligibility confirmation, cost estimates, payment due dates, payments made or completed). |
| Service Credit Purchase | 1690 | Shall generate automated reminders for installment payments (e.g. upcoming due dates, overdue notices). |
| Service Credit Purchase | 1691 | Shall allow administrators to send configurable notifications to members regarding their service credit purchase requests. |
| Service Credit Purchase | 1692 | Shall provide views on service credit purchase activities (e.g. number of requests, cases open and closed, amounts purchased, payment status). |
| Service Credit Purchase | 1693 | Shall provide administrators with tools to analyze trends in service credit purchases, (e.g. average costs, most common purchase types, member demographics). |
| Service Credit Purchase | 1694 | Shall maintain a detailed audit trail of all service credit purchase transactions (e.g. calculations, approvals, payments). |
| Service Credit Purchase | 1695 | Shall include configurable workflows for processing service credit purchase requests (e.g. eligibility verification, cost calculation, approval, payment tracking). |
| Service Credit Purchase | 1696 | Shall allow administrators to assign service credit purchase tasks to specific users or departments. |
| Service Credit Purchase | 1697 | Shall allow administrators to configure rules and policies for service credit purchases (e.g. eligibility criteria, interest rates, payment options) without vendor involvement. |
| Service Credit Purchase | 1698 | Shall support updates to service credit purchase policies without requiring significant system changes or downtime. |
| Service Credit Purchase | 1699 | Shall assign a unique case number to each inquiry and request related to service credit purchases. |
| Service Credit Purchase | 1700 | Shall allow for system to automatically close SCP estimate within a configurable time frame after notification to member has been made (e.g. configurable time frame = close of interest period for calculation) |
| Service Credit Purchase | 1701 | Shall allow for user to reopen previously closed SCP estimate and allow for user to update calculation for additional interest periods |
| Service Credit Purchase | 1702 | Shall alert user if member has reached 401(a)17 or Social Security (PERPA) compensation limits if applicable to time purchasing |
| Software | 1703 | Shall support the management of at least three separate code branches concurrently: one for the next planned release, one for ongoing maintenance of the current production version, and one or more for the resolution of defects and critical issues. |
| Software | 1704 | Shall provide OCERS the source code for all current software that comprises the entire new proposed solution, based on schedule to be defined by OCERS. |
| Software | 1705 | Shall identify and specify the type, technical specifications, quantity, and associated costs of any software components that are required but not included in the proposed solution. |
| Software | 1706 | Shall provide a test environment that allows dates and times to be configured independently of the system’s actual date and time. |
| Software | 1707 | Shall allow OCERS to implement any new module included in the base product release according to OCERS preferred timeline |
| Software | 1708 | Shall ensure that all software components required for the proposed solution remain on currently supported versions throughout the implementation and the entire lifecycle of the solution. |
| Software | 1709 | Shall schedule all software releases to occur within predefined maintenance windows established by OCERS. |
| Software | 1710 | Shall notify OCERS administrators in advance of any scheduled software updates and shall include details regarding the scope, timing, and potential impacts of the updates. |
| Software | 1711 | Shall provide the ability to roll back system to its previous stable state in the event of a failed software update, or an update that causes compatibility/functionality issues. |
| Software | 1712 | Shall provide a solution that is upgradeable to new major and minor product releases without restrictions due to OCERS specific product configuration. |
| Software | 1713 | Shall ensure that all software licenses, warranties, and support contracts are maintained and kept up-to-date for all cloud-based components, |
| Software | 1714 | Shall have the ability to integrate with and utilize Microsoft software or software components. |
| Software | 1715 | Shall deliver to OCERS a license for the use of the LOB application software, and all requisite support, development, third party, and additional software necessary to use, maintain and support the solution to include on premise and cloud applications. |
| Software | 1716 | Shall be responsible for purchasing, installing, and configuring all software unless specified by OCERS. |
| Software | 1717 | Shall provide the automated scripts and written procedures needed to load, configure, and deploy all software releases. |
| Software | 1718 | Shall build and deploy all software releases using an automated process. |
| Software | 1719 | Shall have all software installed, operational, and customized to OCERS configuration prior to using the software for any development or production activities. |
| Software | 1720 | Shall have all software (e.g., code walk-through) verified by the OCERS technical staff prior to using the software for production activities. |
| Software | 1721 | Shall provide, prior to project completion, a strategy for continuously updating all software to the latest supported versions. |
| Software | 1722 | Shall provide OCERS with an environment to be used in the development and support of the new LOB solution in maintenance mode while being developed (e.g., methodology software, batch scheduling software, project management software, testing software) |
| Software | 1723 | Shall provide automatic software updates without disrupting user operations. |
| Testing | 1724 | Shall provide an overall comprehensive test plan containing detailed test plans, test cases and strategy for each type of test (e.g., including but not limited to unit, internal and external integration (SIT), business functional, regression, performance, security, penetration, integration, disaster recovery, conversion). |
| Testing | 1725 | Shall use and provide OCERS access to an industry standard documentation repository tool (lifecycle management tool) to manage traceability between requirements, development and testing processes (e.g., test cases, assignments, defect management). |
| Testing | 1726 | Shall develop, conduct and/or support all testing of the system (vendor testing and support OCERS testing) providing the results and related documentation to OCERS. |
| Testing | 1727 | Shall provide a methodology for defect triage, prioritization and reporting as agreed upon by OCERS. |
| Testing | 1728 | Shall correct, retest and provide resolution for all defects in a timely fashion as agreed upon by OCERS. |
| Testing | 1729 | Shall provide the ability to have multiple instances of test environments (e.g., SIT, UAT, Pre Prod) with the ability to refresh environments (e.g., ad hoc or scheduled) from another environment as agreed upon by OCERS. |
| Testing | 1730 | Shall conduct Unit Testing to verify the Solution meets OCERS requirements. |
| Testing | 1731 | Shall conduct and support integration testing to verify the Solution meets OCERS integration and interface specifications (e.g., connectivity, file and data formatting, performance, timing, data accuracy) with external entities (e.g., financial, State comptroller, vendors, agencies). |
| Testing | 1732 | Shall conduct Business Functional Testing, employing automated testing tool wherever possible, on all Solution components including newly developed, using OCERS converted test data to verify compliance with project requirements. |
| Testing | 1733 | Shall conduct Regression Testing to verify that previously developed and tested software performs correctly after an update using OCERS converted test data. |
| Testing | 1734 | Shall conduct Performance Testing (e.g., load testing, stress testing, endurance testing) to verify that the Solution meets OCERS performance criteria. |
| Testing | 1735 | Shall conduct Security Testing for all user types to verify the Solution's security is working as designed (e.g., authentication, role-based access, row level security, auditing). |
| Testing | 1736 | Shall work with OCERS staff to conduct Penetration Testing prior to go-live (e.g., third party, internal) and provide the findings. |
| Testing | 1737 | Shall support OCERS User Acceptance Testing process. |
| Testing | 1738 | Shall conduct a test readiness exercise with OCERS prior to each testing phase to verify preparation and assets for the upcoming testing cycle (e.g., test cases, scripts, environment(s), data and related requirements). |
| Testing | 1739 | Shall conduct a review with OCERS at the end of each testing phase, including the results and an evaluation (e.g., lessons learned, reports, statistics), of the completed test cycle. |
| Testing | 1740 | Shall support the use of different types of OCERS converted test data (e.g., actual data, scrubbed data, masked data). |
| Testing | 1741 | Shall provide an automated testing tool, training for OCERS staff, and all automated test scripts used during the implementation period that can be used by OCERS during implementation and after go-live. |
| Testing | 1742 | Shall provide the ability for OCERS to run all vendor tests and test scripts. |
| Testing | 1743 | Shall support OCERS in Disaster Recovery testing pre and post go-live. |
| Testing | 1744 | Shall ensure that there is time built into the schedule for Model Office and UAT testing for OCERS to conduct. It should be a minimum of 20% of the overall schedule. |
| Testing | 1745 | Shall conduct and support end-to-end testing of data flows across multiple systems to ensure accurate data exchange. |
| Testing | 1746 | Shall require formal sign-off from key stakeholders before proceeding to production deployment. |
| Testing | 1747 | Shall ensure a code management process is followed that allows only one person to change a section of code at a time. |
| Warranty | 1748 | Shall provide for a system uptime of 99.999% during core business hours for all major functions proposed, including web and local operations and excluding scheduled downtime or OCERS-initiated downtime. The bidder shall specify how availability is measured and under what conditions this guarantee cannot be met. |
| Warranty | 1749 | Shall provide for a system uptime of 99.982% during non-core business hours for all major functions proposed, including web and local operations and excluding scheduled downtime or OCERS-initiated downtime. The bidder shall specify how availability is measured and under what conditions this guarantee cannot be met. |
| Warranty | 1750 | Shall warrant that all core pension administration functionalities operate as intended. |
| Warranty | 1751 | Shall support rollback options in the event an update negatively affects system performance or functionality. |
| Warranty | 1752 | Shall provide and maintain a user-accessible knowledge base documenting common system issues, troubleshooting steps, and recommended resolutions. |
| Warranty | 1753 | Shall provide warranty coverage for all customizations and configurations implemented as part of the project. |
| Warranty | 1754 | [Shall provide a system warranty for critical defects (See definition in Attachment A - Definitions) for the solution effective for five calendar years after each release of functionality to production.](file:///C:\Users\ShellyPardis\AppData\Local\Microsoft\Windows\INetCache\Content.MSO\A2769343.xlsx#RANGE!_Exhibit_Attachment_A) |
| Warranty | 1755 | [Shall provide a warranty for defects (See definition in Attachment A - Definitions) for the solution applications effective for 60 business days after each release of functionality to production.](file:///C:\Users\ShellyPardis\AppData\Local\Microsoft\Windows\INetCache\Content.MSO\A2769343.xlsx#RANGE!_Exhibit_Attachment_A) |
| Warranty | 1756 | Shall provide a warranty that covers all system components, including software, interfaces, integrations, and customizations. |
| Warranty | 1757 | Shall include full defect resolution, maintenance, and patch deployments at no additional cost. |
| Warranty | 1758 | Shall categorize defects by severity level and resolve them according to predefined response and resolution timelines. |
| Warranty | 1759 | Shall provide defect tracking, including status updates and resolution progress, via an online portal or reporting system. |
| Warranty | 1760 | Shall maintain system usability, accessibility, and compliance with approved design specifications. |
| Warranty | 1761 | Shall provide documentation on all updates, including release notes and potential impacts. |
| Warranty | 1762 | Shall warrant the accuracy and integrity of all pension calculations, benefit determinations, and contribution processing. |
| Warranty | 1763 | Shall correct any system-generated data errors or miscalculations identified during the warranty period. |
| Warranty | 1764 | Shall provide data validation tools to verify the accuracy of information processed by the system. |
| Warranty | 1765 | Shall ensure that data imports, exports, and batch processing functions operate correctly and efficiently. |
| Warranty | 1766 | Shall provide monthly reports on warranty support activities, including issue logs, resolution times, and recurring problems. |
| Warranty | 1767 | Shall provide a seamless transition from the warranty period to post-warranty support services. |
| Warranty | 1768 | Shall notify the organization at least 6 months in advance of the warranty expiration date. |
| Warranty | 1769 | Shall conduct a final system health check before the warranty period ends, identifying any remaining defects or issues. |
| Web Self Service | 1770 | Shall provide a user-friendly and intuitive web self-service functionality for all key OCERS business processes |
| Web Self Service | 1771 | Shall integrate with OCERS website and provide the same branding as the OCERS (Home) web-site |
| Web Self Service | 1772 | Shall adhere to all OCERS and applicable state and federal laws and regulations for the website |
| Web Self Service | 1773 | Shall allow user access to the web self-service screen through a secure log in |
| Web Self Service | 1774 | Shall provide unique user access based on OCERS defined user type (e.g. personalized dashboard based on membership or payee status - active, retired, beneficiary) |
| Web Self Service | 1775 | Shall provide the ability for the user to reset their password and provide username recovery options. |
| Web Self Service | 1776 | Shall provide the ability to view, designate, and change beneficiary information (e.g., retired or active) |
| Web Self Service | 1777 | Shall automatically notify the user upon the occurrence of any major milestones or updates. |
| Web Self Service | 1778 | Shall provide the ability to display the status of a process on external portals (e.g., allowing members to track the progress of their disability claims or retirement applications) |
| Web Self Service | 1779 | Shall facilitate the distribution of enrollment materials (including welcome letter, enrollment application, and beneficiary nomination) initiated via request through workflow or web interface. |
| Web Self Service | 1780 | Shall provide a benefit estimate calculator to members based on information in the member account (e.g. allows members to model different retirement dates and benefit options) |
| Web Self Service | 1781 | Shall provide the ability for a member to save, name, edit or delete a benefit estimate |
| Web Self Service | 1782 | Shall provide the same benefit estimate functionality as defined with the line of business application for the member |
| Web Self Service | 1783 | Shall provide the ability to view previous calculated benefit estimates |
| Web Self Service | 1784 | Shall provide the ability to calculate any deductions and withholdings on the benefit estimate |
| Web Self Service | 1785 | Shall provide the ability for the benefit estimate to include potential service purchase |
| Web Self Service | 1786 | Shall provide the ability to calculate service credit purchases and their impact on total estimated benefits. |
| Web Self Service | 1787 | Shall provide the ability to view, download or print a benefit estimate |
| Web Self Service | 1788 | Shall pull a member's data to populate their benefit estimate, address or other fields that are on the self-service screens |
| Web Self Service | 1789 | Shall provide the ability to view, download and print a benefit award letter |
| Web Self Service | 1790 | Shall display certain forms based on the user status (e.g., active, retired, inactive) |
| Web Self Service | 1791 | Shall have ability to track requests that require OCERS response and the method for responding (call, letter, e-mail) |
| Web Self Service | 1792 | Shall provide the member the ability to view all member attributes (e.g. salary information and employment histories, plan, final average salary) |
| Web Self Service | 1793 | Shall provide the user the ability to view, download and print to tax documents (e.g.,1099-R forms). |
| Web Self Service | 1794 | Shall provide the ability to update contact information (e.g., email, bank information, address, phone number, tax withholding, marital status, life event changes) according to OCERS business rules |
| Web Self Service | 1795 | Shall display informational messages to the member of the current eligibility for benefits (e.g., withdrawal, deferred retirement, lump sum, or full retirement) |
| Web Self Service | 1796 | Shall provide the ability for OCERS to post messages to all users, or select user groups |
| Web Self Service | 1797 | Shall provide the ability for web self-service users to schedule counseling activities, seminars, workshops or sign-up for meetings through a calendar type of view |
| Web Self Service | 1798 | Shall provide the ability for OCERS to enter the time their staff is available. Otherwise, no time available will put on the web calendar for meetings or sessions |
| Web Self Service | 1799 | Shall provide different calendar views to see activities (day, week, and month calendars) |
| Web Self Service | 1800 | Shall have the ability to generate an appointment reminder notification informing the user about an upcoming meeting that they have registered for |
| Web Self Service | 1801 | Shall provide a calendar view that will display the number of seats available for given seminars, workshops and if the user signs up for a meeting the seats available will be reduced by one |
| Web Self Service | 1802 | Shall provide the ability for a user to link an OCERS appointment to their calendar |
| Web Self Service | 1803 | Shall provide the ability for any benefit recipient to view any of their payments and payment details |
| Web Self Service | 1804 | Shall capture transaction requests (e.g., withdrawal, retirement, disability, purchase of service) through a web self-service and will apply appropriate validations to the request and prevent the submission of incomplete or inaccurate requests. |
| Web Self Service | 1805 | Shall check any withdrawal request to see if member is within x (parameter) number of months from retirement and display a message stating that they will be eligible for retirement benefits in x (parameter) months and require member acknowledgement that they have read and understand |
| Web Self Service | 1806 | Shall have the ability to update previously saved transaction requests (e.g., withdrawal, retirement, disability, purchase of service) through a web self service |
| Web Self Service | 1807 | Shall provide the ability for the member self-service user to select service credit they would like to purchase based on the type of service credit and OCERS business rules, and calculate the expected cost |
| Web Self Service | 1808 | Shall provide the different payment amounts associated with the payment type (e.g., lump sum or installments) requested to pay off the purchase of service and allow for the web self-service to select one based on OCERS business rules |
| Web Self Service | 1809 | Shall provide a view to a member of any service purchase currently in progress, show the total amount of the purchase and the amount paid to date along with the payment schedule and next expected payment |
| Web Self Service | 1810 | Shall provide the ability for OCERS to view the same screen and data being entered by the web self-service user through co-browsing functionality, facilitating assistance with user inquiries. |
| Web Self Service | 1811 | Shall provide an appropriate knowledge base and FAQs section for each web self service area (e.g., withdrawal, service purchase, retirement, lump sum) |
| Web Self Service | 1812 | Shall provide the ability for OCERS to update the knowledge base and FAQs without requiring programming changes |
| Web Self Service | 1813 | Shall provide the ability for the user to view any payment remittance on-line |
| Web Self Service | 1814 | Shall provide the ability for the user to change their federal and state tax elections and provide the estimated impact of the change |
| Web Self Service | 1815 | Shall have the ability to integrate with a multi-media presentation |
| Web Self Service | 1816 | Shall provide the ability to calculate estimated survivor benefits for all options based on their benefit estimate |
| Web Self Service | 1817 | Shall issue a reminder to the member that they are eligible to retire x (parameter) days from their early and normal retirement eligibility date |
| Web Self Service | 1818 | Shall provide a view that contains a combination of the payroll records selected for the final average salary and the details of how the benefit estimate was calculated |
| Web Self Service | 1819 | Shall provide the ability for the member to see all their historical data in a summary view and a detailed view |
| Web Self Service | 1820 | Shall notify the user of any changes made to their account online |
| Web Self Service | 1821 | Shall provide the ability for members to create and submit applications (e.g., retirement, disability) through a web self-service and apply appropriate validations to ensure that incomplete or inaccurate requests are not submitted. |
| Web Self Service | 1822 | Shall provide a wizard to assist users through the applications on web self service |
| Web Self Service | 1823 | Shall provide the ability to securely view, download, or upload documentation through web self service |
| Web Self Service | 1824 | Shall provide the ability for employers to update disability information (e.g. personnel information, injury information) on web self service |
| Web Self Service | 1825 | Shall notify user if address has been determined to be invalid |
| Web Self Service | 1826 | Shall provide the ability for the user to opt in or out of receiving surveys |
| Web Self Service | 1827 | Shall provide the ability for the member to notify OCERS of reciprocal service |
| Web Self Service | 1828 | Shall provide the ability for member to request a hardship extension period for repayment of overpaid benefits or underpaid contributions (e.g., Service Purchase or Non-Service Credit Purchase) |
| Web Self Service | 1829 | Shall provide the ability for a member to opt out of reciprocal service |
| Web Self Service | 1830 | Shall support responsive web design to ensure accessibility across desktops, tablets, and mobile devices. |
| Web Self Service | 1831 | Shall provide a configurable and customizable user interface that allows the organization to modify branding, themes, and messaging without vendor intervention. |
| Web Self Service | 1832 | Shall allow users to register for an online account using a secure identity verification process. |
| Web Self Service | 1833 | Shall provide role-based access control to ensure users only see information relevant to their status. |
| Web Self Service | 1834 | Shall allow users (e.g., employer, active, beneficiary) to view appropriate account details. (e.g. account balance) |
| Web Self Service | 1835 | Shall provide a downloadable member statement that summarizes account details and historical transactions that is in a printable and in a mailable format (e.g., address fits in available window envelope formats). |
| Web Self Service | 1836 | Shall display historical employment records and contribution history. |
| Web Self Service | 1837 | Shall provide retirees with access to their pension payment history. |
| Web Self Service | 1838 | Shall provide members with the ability to request a service purchase estimate. |
| Web Self Service | 1839 | Shall provide a secure messaging center for members to communicate with pension administrators (e.g., encrypted email communication via a secure portal). |
| Web Self Service | 1840 | Shall allow users to subscribe to notifications for important updates and alerts. |
| Web Self Service | 1841 | Shall support automated email and SMS notifications for account updates, benefit changes, and upcoming deadlines. |
| Web Self Service | 1842 | Shall provide the ability for pre-filled downloadable forms (e.g. retirement application, beneficiary designation forms, tax forms) for internal use only. |
| Web Self Service | 1843 | Shall support document e-signature functionality for applicable transactions. |
| Web Self Service | 1844 | Shall provide a document library for users to access plan documents, guides, and FAQs. |
| Web Self Service | 1845 | Shall allow members to submit a CEO determination request online via electronic form and allow member to track status of the request. |
| Web Self Service | 1846 | Shall provide reporting capabilities to track web portal usage, trends, and engagement metrics. |
| Web Self Service | 1847 | Shall support integration with third-party systems (e.g. CRM, case management) as appropriate. |
| Web Self Service | 1848 | Shall capture a request for a transaction (e.g., withdrawal, retirement, disability, or purchase of service) and automatically update the database from the submission through a web self-service utility. This utility processes the request straight through to the quality assurance review process. |
| Web Self Service | 1849 | Shall provide OCERS the ability to easily modify or update portal formatting or terminology used within the WSS portal (e.g. link descriptions, titles, headings, menu options, web portal content, FAQs, announcements, and alerts.) |
| Web Self Service | 1850 | Shall display a payment summary and separate detailed breakdown of each benefit disbursement (e.g. retirement, disability, death payments). |
| Web Self Service | 1851 | Shall provide the ability for users to receive recommendations of appropriate dates where applicable in the system (e.g., encouraging a member to select a date at the beginning of a pay period for date of retirement). |
| Web Self Service | 1852 | Shall automatically notify active members to contact their employer if they attempt to update any demographic information |
| Web Self Service | 1853 | Shall notify member depending on the situation encountered, requesting additional information or notification of important information |
| Web Self Service | 1854 | Shall allow members to designate and update direct deposit information. |
| Workflow | 1855 | Shall provide automated workflow capabilities for all key OCERS-defined processes and/or seamlessly integrate with an automated workflow solution. |
| Workflow | 1856 | Shall propose an imaging software solution that enables workflows to be automatically triggered based on OCERS-defined document types. |
| Workflow | 1857 | Shall seamlessly integrate with the new line-of-business (LOB) solution, ensuring bidirectional communication between the two systems. |
| Workflow | 1858 | Shall send events and corresponding data from web self-service and LOB to the workflow system as needed. |
| Workflow | 1859 | Shall receive events and corresponding data from the workflow system and take appropriate action within the LOB solution as needed. |
| Workflow | 1860 | Shall allow authorized users to reassign work from one individual to another. |
| Workflow | 1861 | Shall allow authorized users to reassign work from one queue to another. |
| Workflow | 1862 | Shall provide the ability to launch sub-processes from within a primary workflow. |
| Workflow | 1863 | Shall enable a process to be divided into multiple sub-processes, coordinated and managed by an overarching master business process flow (super workflow). |
| Workflow | 1864 | Shall allow authorized users to look up all main processes and sub-processes associated with a given entity (e.g. a process, person, organization). |
| Workflow | 1865 | Shall track the start and end times of overall workflow processing. |
| Workflow | 1866 | Shall track the start and end times at different levels (e.g. process, sub-process, activity, step, wait, hold until time). |
| Workflow | 1867 | Shall allow OCERS to control the timing of workflow steps as needed. |
| Workflow | 1868 | Shall provide access to the relevant LOB screen directly from a workflow step. |
| Workflow | 1869 | Shall associate appropriate knowledge base documentation with each workflow step for reference to assist users . |
| Workflow | 1870 | Shall capture data required for analyzing productivity, volumes, and performance metrics (e.g. queue counts, time to complete a step, time to complete overall workflows). |
| Workflow | 1871 | Shall provide a view showing productivity and performance information (e.g. by staff member, transaction type) |
| Workflow | 1872 | Shall provide the ability for authorized users to design, modify, and customize workflows for specific business processes without IT or vendor dependency. |
| Workflow | 1873 | Shall provide the ability to identify all workflows that have remained open for a specified duration, based on OCERS-defined parameters, per each individual workflow. |
| Workflow | 1874 | Shall provide the ability to cancel workflows without requiring completion of all steps (e.g. abort the workflow). |
| Workflow | 1875 | Shall provide the ability to flag a user so that workflows will not be sent to them based on status (e.g. out of office, unavailable) or based on a given date range (e.g. vacation, out sick). |
| Workflow | 1876 | Shall retain a complete history of all workflows. |
| Workflow | 1877 | Shall provide a view of historical workflows for auditing or reference purposes. |
| Workflow | 1878 | Shall provide the ability to enable or disable workflow notifications per workflow. |
| Workflow | 1879 | Shall provide the ability to notify workflow users based on selections defined by OCERS. |
| Workflow | 1880 | Shall provide the ability to create, configure, and manage notifications. |
| Workflow | 1881 | Shall provide the ability to send notifications based on workflow events as defined by OCERS (e.g. step completion, document receipt, SLA times, incomplete tasks). |
| Workflow | 1882 | Shall allow users with appropriate permissions to add, modify, and remove wording on the template for each workflow step (e.g. instructions, questions) without IT or vendor involvement. |
| Workflow | 1883 | Shall provide views of workflows filtered by OCERS-defined parameters (e.g. status, member, employer, user, group). |
| Workflow | 1884 | Shall allow historical workflows to be deleted by OCERS based on specific parameters (e.g. closed date, type). |
| Workflow | 1885 | Shall provide a real-time configurable view of the overall workflow status and individual step progress, enabling users to monitor key information defined by OCERS (e.g. status, bottlenecks, overall process efficiency). |
| Workflow | 1886 | Shall provide the ability to prioritize active workflows |
| Workflow | 1887 | Shall provide a view of active workflows in an order defined by OCERS, with the default view sorted by workflow priority. |
| Workflow | 1888 | Shall provide configurable notifications for various statuses, actions and outcomes (e.g. task assignments, deadlines, escalations) via email, SMS, or system alerts. |
| Workflow | 1889 | Shall provide an intuitive (e.g. drag-and-drop, low-code, no-code) workflow designer and editor for easy creation, configuration, and modification of workflows. |
| Workflow | 1890 | Shall allow authorized users to easily create, update, and customize workflows and functions using visual tools, following industry standards (e.g. BPMN (Business Process Model and Notation) and CMMN (Case Management Model and Notation)). |
| Workflow | 1891 | Shall intelligently route tasks to the next step based on the results of the previous step (e.g. specific outcomes, decisions made). |
| Workflow | 1892 | Shall trigger workflows based on various OCERS-defined parameters (e.g. defined rules, system events, data updates, user actions, receipt of document, email, web self-services). |
| Workflow | 1893 | Shall provide the ability to create, assign, and track individual or group tasks. |
| Workflow | 1894 | Shall assign tasks dynamically to users or groups based on roles, workload, or predefined business rules. |
| Workflow | 1895 | Shall provide the ability to define escalation parameters (e.g., paths) for unaddressed tasks. |
| Workflow | 1896 | Shall support both parallel (simultaneous) and sequential (step-by-step) workflows. |
| Workflow | 1897 | Shall allow authorized users to modify workflows on the fly without disrupting ongoing processes. |
| Workflow | 1898 | Shall maintain version control for workflows with the ability to revert to previous versions when needed. |
| Workflow | 1899 | Shall provide the ability to integrate workflows with third-party systems (e.g. payroll, document management, CRM). |
| Workflow | 1900 | Shall provide support for APIs, webhooks, and other integration mechanisms to ensure seamless interoperability with third-party systems. |
| Workflow | 1901 | Shall provide a view on workflow performance per OCERS defined parameters (e.g., cycle times, pending tasks, SLA adherence). |
| Workflow | 1902 | Shall support a high volume of concurrent workflows without degradation in performance. |
| Workflow | 1903 | Shall easily scale to accommodate increased workflow usage, new processes, and future organizational growth. |
| Workflow | 1904 | Shall allow for granular permission controls to restrict access to specific workflows or tasks based on OCERS-defined roles. |
| Workflow | 1905 | Shall provide training for staff on workflow design and maintenance. |
| Workflow | 1906 | Shall provide support for troubleshooting workflow-related issues. |
| Workflow | 1907 | Shall provide comprehensive user guides and technical documentation for workflow management. |
| Workflow | 1908 | Shall provide the ability for the system to predict workflow bottlenecks and suggest optimizations. |
| Workflow | 1909 | Shall automatically and intelligently route task assignments based on historical data. |
| Workflow | 1910 | Shall automatically and intelligently recommend task assignments (next best action) based on historical data. |
| Workflow | 1911 | Shall allow users to interact with workflows via chatbot or virtual assistant interfaces (e.g. initiate workflows, check workflow status, receive reminders). |
| Workflow | 1912 | Shall provide the ability to automatically close a workflow if all steps of the workflow are marked as complete, and automatically close all steps if a workflow is marked as complete. |
| Workflow | 1913 | Shall have the ability to bulk cancel workflows as defined by OCERS. |
| Workflow | 1914 | Shall provide the ability to add notes to workflow steps. |
| Workflow | 1915 | Shall provide the ability to flag and initiate a workflow on an account for a beneficiary and survivor under the age of 22 to automatically generate letter to verify Full Time student status |
| Workflow | 1916 | Shall provide the ability to flag and initiate a workflow on an account for a payee living in a foreign country to automatically generate annual life verification letter |
| Workflow | 1917 | Shall provide the ability to flag and initiate a workflow on an account for a payee of a configurable age to automatically generate annual life verification letter |
| Workflow | 1918 | Shall provide the ability to flag and initiate a workflow on an account marked as Active Disabled for those members receiving supplemental payments |
| Workflow | 1919 | Shall provide the ability reinstate and recall a closed workflow. |
| Workflow | 1920 | Shall allow OCERS users to manually launch workflows |

### B.3 Technical Solutions

OCERS seeks modern technology driven solutions from respondents to realize the outlined vision. Respondents are encouraged to exercise creativity, flexibility, and technical proficiency in designing solution architectures that align with OCERS modernization objectives. Proposals that demonstrate extendibility and adaptability, while delivering a comprehensive line-of-business system for pension administration, will be highly valued.

###### 3.1 - Application Architecture

Respondents must define a target-state application architecture that outlines the application structure, interactions, key functionalities, and data management within the overall solution. OCERS seeks a modular architecture with prebuilt connectors to support future business and technology needs while minimizing risk and cost.

The proposed application architecture must meet these criteria:

* Support for multiple environments, including development, testing, quality assurance, training, staging, and production.
* Browser-based interfaces optimized for desktop use, with tablet and smartphone support where feasible.
* Integration and Business Process Automation (BPA) capabilities.

**Programming Languages**

OCERS wishes to understand what core backend and front-end technologies are involved and how customizations or configurations are performed. Clearly describe:

**Backend Languages/Frameworks**: (e.g., Java, .NET, Node.js), including any rationale for performance, security, or maintainability.

**Front-End Technologies**: (e.g., Angular, React, Vue, or standard web frameworks), including responsiveness for different form factors.

**Skills Needed for Maintenance**: Outline the technical skill sets required for in-house teams to manage, update, and customize the proposed solution, such as programming languages, scripting languages, and developer tooling.

###### 3.2 - Contact Center

OCERS is seeking a modern, flexible, and fully integrated omnichannel Contact Center solution to support its member service objectives as part of the new Pension Administration System (PAS). The selected platform must enhance service quality, streamline communications, and support OCERS strategic shift toward digital-first member engagement. The solution may be native to a Contact Center as a Service (CCaaS) platform, integrated with third-party Customer Relationship Management – Customer Engagement Center (CRM-CEC) tools, integrated with the PAS, or delivered through a hybrid model. Vendors are encouraged to propose solutions that will evolve with OCERS operational needs and deliver a consistent, high-quality experience across all communication channels.

**Omnichannel Support & Scalability:** The proposed platform must support voice as the initial primary channel and be designed to scale to other digital channels (chat, SMS, email, social media messaging) with minimal reconfiguration. Support for AI-driven self-service, including NLP-based virtual agents with seamless escalation to live agents, is highly desirable.

**Enhanced Service and First-Contact Resolution:** The new solution should improve information exchange and service quality, enabling agents to better assist members. Key goals include faster response times, more personalized interactions, and higher first-contact resolution rates for member inquiries (resolving issues on the first call/chat whenever possible).

**360° Member View:** A seamless integration with the CEC/CRM is required to provide a 360° view of each member’s profile. This includes consolidating all relevant client data (e.g., contact info, inquiry history, pension details) and tracking interactions across all channels. Agents should see a complete history of the members’ inquiries and communications, allowing for personalized service and efficient follow-up on outstanding issues.

**Agent Experience:** To ensure high service quality and operational efficiency, the platform must include tools that enhance the experience of both Contact Center agents and supervisors. The solution should offer a unified agent desktop that provides access to all relevant member data and enables contextual responses to inquiries. Agents should have access to real-time collaboration tools, internal notes, scripting, and guided workflows tailored to pension-specific scenarios. The integration of an internal knowledge base or FAQ resource is also required to support quick and accurate responses.

**Supervisor Experience:** Supervisors must have access to real-time dashboards and monitoring tools to oversee queue performance, agent availability, and adherence to service level agreements. The platform must support call monitoring, whisper coaching, and barge-in functionality for quality assurance and training purposes. Additionally, it should accommodate secure, remote access to support hybrid work environments for Contact Center staff.

**Analytics, Reporting, and Quality Management:** The proposed solution must digitally log and centralize all member interactions, regardless of channel, into a single system of record. The system should provide both real-time and historical reporting capabilities, allowing OCERS to monitor key performance indicators such as average handle time, first-contact resolution (FCR), abandonment rate, service level adherence, and contact volume across channels.

To support quality management, the solution must include tools for voice call recording, transcription, and secure indexing of interaction history to member profiles. Supervisors should be able to retrieve and review recordings and transcripts easily for coaching and compliance purposes. The platform should also support advanced analytics, including speech and text analytics, keyword flagging, and sentiment analysis, to help identify service trends, common pain points, and training opportunities.

**Member Self-Service Capabilities:** The solution must offer secure and user-friendly self-service options for OCERS members. These capabilities should include web and mobile access to view the status of requests, search frequently asked questions, and submit or track inquiries. The system should support customizable interactive voice response (IVR) menus that allow for member authentication and data-driven call routing based on member type, inquiry reason, or priority level. Optional callback features during periods of high call volume are desirable to enhance the member experience. The platform should also support omnichannel continuity, allowing members to transition between channels (e.g., from chat to phone) without losing context.

**Transition to Digital & Mobile Readiness:** The platform should support OCERS strategic shift from paper-based communications to fully digital interactions (email, SMS, chat). This includes features like email integration and SMS/text notifications to members. The solution should also provide a foundation for future initiatives. For example, enabling the development of a dedicated OCERS mobile application that leverages the Contact Center backend for chat or call support, allowing members to engage via smartphones.

**Integration:** Real-time data synchronization between the Contact Center, CRM, and PAS is essential and must be supported through industry-standard APIs, such as RESTful services or webhooks. Vendors should specify which CRM platforms are natively supported and describe any middleware or licensing requirements needed to facilitate integration. The goal is to ensure consistent and accurate information exchange across all systems to support efficient and personalized service delivery.

Respondents should propose a solution that aligns with OCERS vision for a flexible, and fully integrated contact center platform capable of evolving with the organization’s needs.

###### 3.3 - Business Process Automation (BPA) and Integration Architecture

OCERS seeks a robust Integration Platform as a Service (iPaaS) and Business Process Automation (BPA) solution to enhance system connectivity, automate workflows, and boost operational efficiency. The iPaaS must support seamless application, data, and API integration across cloud and on-premises environments, enabling real-time, batch, and event-driven processing. It should provide elastic scalability, high availability, and API management with comprehensive security features, including encryption, access controls, and compliance.

The platform must offer:

* Low-code/no-code development for rapid integration and workflow automation.
* Pre-built connectors and SDKs for ease of integration with external systems.
* Advanced monitoring and analytics to optimize performance and error handling.

Integration with Critical Key Systems: The proposed solution should be integrated with various critical systems, including but not limited to key systems in [Subsection 003 Key Systems](#KeySystems003).

**Data Integration Capabilities**: While OCERS values strong data integration capabilities within an Integration solution, the preference is to leverage pre-built connectors wherever feasible to minimize complexity and overhead. The platform should include support for:

* Real-time and scheduled synchronization for timely and accurate data updates (used judiciously)
* Data transformation and enrichment using ETL/ELT processes
* Schema mapping and validation tools to support consistent data structures
* Secure, reliable transfers with error handling and retry mechanisms
* Data lineage tracking and impact analysis for governance and traceability

**Business Process Automation (BPA):** The BPA solution must support end-to-end workflow automation to streamline business operations. Core capabilities should include:

* Visual process modeling with drag-and-drop functionality
* Task and document automation
* Event-driven workflows
* Business rules management and human-in-the-loop approvals
* Reusable templates across departments
* Basic escalation handling and process monitoring tools

While advanced automation features such as AI/ML and predictive analytics are not currently required, the solution should allow for these capabilities in the future as part of a forward-looking architecture.

Extensibility & Future Readiness:

* The platform should be built with extensibility in mind, including:
* Custom development through APIs or SDKs
* Plugin/module architecture for extending native capabilities
* Future integration with AI/ML platforms
* Support for evolving standards like OpenAPI and GraphQL

Security, Availability, and Scalability:

* High availability and elastic scalability
* Robust governance with role-based access controls
* Audit trails and adherence to Security Requirements
* Hybrid and multi-cloud compatibility for deployment flexibility
* Cost-efficient pricing models to optimize resource utilization

Developer Ecosystem & Support:

* Comprehensive documentation
* Developer and partner ecosystem
* Technical support for sustainable adoption

OCERS envisions, through this approach, that it will be able to automate business processes, enhance system integrations, and drive digital transformation effectively.

###### 3.4 - Artificial Intelligence (AI) Capabilities

OCERS seeks an AI-ready solution that enables the seamless adoption of AI capabilities in the future. The proposed solution should support an AI assistant integrated across self-service channels and portals, leveraging an OCERS-controlled knowledge base to provide contextual responses to members and employers. The AI assistant should facilitate record submission and updates and enable a seamless AI-to-live agent handoff, including conversation history retention and summarization. Additionally, an internal AI assistant should be available to assist OCERS staff by providing quick responses based on the internal knowledge base. The system must be flexible and scalable, supporting future AI and machine learning advancements.

Respondents should describe their modular architecture and integration approach to enable AI-based enhancements over time. They are encouraged to provide insights into implementation considerations and real-world use cases relevant to pension or financial systems. Additionally, respondents must provide a comprehensive list of AI use cases available in their proposed solution for both external and internal users, while ensuring that implementation remains optional at OCERS discretion.

###### 3.5 - Data Platform and Information Architecture

The proposed Information Architecture, including the Data Platform solution, must deliver a clearly defined and comprehensive framework that aligns with OCERS business objectives, data management strategy, and regulatory obligations. The architecture must define key data domains, relationships, flows (e.g., ETL/ELT processes), and business logic in a manner that supports centralized, governed, and secure data practices. It must eliminate data silos by enabling robust data integration and synchronization mechanisms, ensuring consistency, accuracy, and availability of data across all systems and services.

The Data Platform must provide a unified, enterprise-wide view of structured and unstructured data, serving as a single source of truth for both operational and analytical needs. It should support both real-time and batch processing use cases and enable seamless integration with Microsoft Power BI and other standard business intelligence tools to facilitate ad hoc reporting, dashboards, and governed analytics.

The platform must incorporate native support for data classification aligned with OCERS data classification framework. This includes automated tagging, role-based access controls, encryption (at rest and in transit), and data masking based on sensitivity level. These controls must ensure that data is protected and handled in accordance with applicable privacy, security, and regulatory requirements.

In alignment with OCERS strategic vision, the Data Platform should be architected to support future artificial intelligence (AI) and machine learning (ML) initiatives. This includes capabilities such as data versioning, feature stores, support for model training and inferencing pipelines, and integration with modern AI/ML frameworks.

The architecture must support a modern, scalable data platform—such as a data warehouse, data lake, data warehouse or data fabric - that meets current operational needs while enabling future expansion. Key architectural components must include:

* **Conceptual and Logical Data Models:** Visual representations and documentation of key data entities, domains, relationships, and business definitions to ensure shared understanding across stakeholders.
* **Physical Data Models:** Detailed data structures including entity relationship diagrams (ERDs), schema definitions, indexing strategies, and a comprehensive data dictionary.
* **Metadata and Data Lineage Management:** Capabilities to automatically capture and manage technical, business, and operational metadata, with full lineage tracing and impact analysis to support transparency and auditability.
* **Data Governance Framework:** Defined policies, stewardship roles, quality rules, and compliance mechanisms to ensure ongoing data integrity, accountability, and alignment with organizational standards.
* **Data Quality Management:** Tools and processes for profiling, automated validation, anomaly detection, and continuous monitoring of data quality.
* **Security and Access Controls:** Granular role-based access, least-privilege enforcement, audit logging, and integration with enterprise identity and access management systems.
* **Data Integration Layer:** A flexible integration framework supporting APIs, ETL/ELT tools, message queues, and event-driven architectures to facilitate interoperability with internal and third-party systems.
* **Support for Structured and Unstructured Data:** The ability to ingest, store, manage, and analyze a variety of data types to accommodate a wide range of use cases.

This architecture must provide a modular and extensible foundation that ensures scalability, sustainability, and operational efficiency. By implementing industry best practices in data management, integration, and governance, the proposed solution will empower OCERS to make informed, data-driven decisions while supporting future innovation in areas such as automation, predictive analytics, and AI/ML.

###### 3.6 - Infrastructure and Technology Architecture

OCERS is seeking a secure, resilient, and future-ready infrastructure and technology architecture to support the deployment and ongoing operation of a new Pension Administration System (PAS). The solution must adopt a cloud-first approach, utilizing Infrastructure as a Service (IaaS), Platform as a Service (PaaS), and Software as a Service (SaaS) models where appropriate. Hybrid or multi-cloud architectures will also be considered, provided they are well-justified and designed for high availability, redundancy, and scalability.

**Current State Overview**

OCERS currently operates both a primary and a secondary data center, interconnected by high-capacity circuits. All staff access enterprise systems from Windows laptops, which are provisioned with Microsoft 365 applications. Identity and access management (IAM) is centralized using Microsoft Entra ID and Active Directory for internal services, and Okta for SaaS-based identity federation and access control.

**Target Architecture Requirements**

The proposed technical solution should:

* Be primarily cloud-deployed, with minimal on-premises infrastructure unless clearly justified by regulatory, performance, or integration requirements.
* Support a modular and scalable design across IaaS, PaaS, and SaaS models.
* Ensure seamless integration with OCERS existing IAM solutions (Microsoft Entra ID and Okta), leveraging standards such as SAML 2.0, OAuth 2.0, and OpenID Connect for authentication and authorization.
* Incorporate zero-trust architecture principles, including least-privilege access, continuous authentication, and network segmentation.
* Use Infrastructure as Code (IaC) and modern automation tools to enable consistent, repeatable deployments and rapid recovery.

**Core Technology Principles**

All proposed infrastructure technologies and components must align with the following design principles:

* **Cloud-First & Flexible:** Prioritize virtualized, containerized, and cloud-native components. Avoid reliance on static, dedicated physical servers unless explicitly required.
* **Mainstream & Maintainable:** Use industry-supported technologies with strong community and vendor support to ensure ease of operation, troubleshooting, and staff training.
* **Secure & Compliant:** Adhere to cybersecurity best practices, enabling secure integration, strong IAM, and regulatory compliance.
* **Scalable & Sustainable:** Design for elastic scaling, high resilience, and long-term operational sustainability.

###### 3.7 - Infrastructure and Technology Security

The selected vendor must implement robust security controls across infrastructure, cloud environments, and operational processes to safeguard the Pension Administration System. All security measures must align with industry best practices and recognized frameworks (e.g., NIST Cybersecurity Framework (CSF), CIS Controls v8.1, FedRAMP Moderate, SOC 2 Type II, ISO/IEC 27001). The vendor shall:

1. **Hosting & Cloud Security:** If leveraging cloud services, the solution must follow industry best practices for secure configuration, access control, and data protection. The vendor must ensure that the cloud provider maintains appropriate security certifications and compliance measures.
2. **Network Security:** Employ layered security controls, including firewalls, intrusion detection/prevention mechanisms, zero trust principles, and network segmentation to protect against unauthorized access and threats. Network traffic should be monitored for anomalies and unauthorized activity through centralized logging and behavioral analytics.
3. **Data Protection & Encryption:** Enforce strong encryption practices for sensitive data both at rest and in transit, ensuring secure storage and transmission of information. Implement robust key management practices, using enterprise-grade services (e.g., AWS KMS, Azure Key Vault).  
   The solution must address both structured and unstructured data and vendors must describe how encryption keys are stored, rotated, and protected.
4. **Identity & Access Management (IAM):** Access must be controlled through role-based access (RBAC), least-privilege principles, and multi-factor authentication (MFA). Provisioning and deprovisioning of user accounts must be automated and auditable. Privileged, administrative, and service accounts must be governed by a Privileged Access Management (PAM) solution.

Integration with OCERS Okta IAM is required for staff authentication using SAML 2.0, OAuth 2.0, and OIDC protocols, along with SCIM-based user provisioning and session management.

For member, employer, and partner portals, the solution must support Customer Identity and Access Management (CIAM) features, including:

* Digital identity verification (e.g., LexisNexis)
* Configurable MFA (SMS, email, Microsoft/Google Authenticator, FIDO2)
* Granular RBAC and full audit trail of all access permissions

1. **Incident Response & Monitoring:** Implement continuous security monitoring, centralized logging, and an incident response plan to quickly detect, respond to, and mitigate security threats.   
   Audit logs must be immutable, timestamped, and include user ID, source IP, and activity details. Logs must comply with OCERS retention policies, support export to SIEM platforms (e.g., Rapid7), and enable alerts for suspicious activities such as failed login attempts or privilege escalations.
2. **System Hardening & Patch Management:** Apply secure system configuration guidelines, regularly update software and security patches, and implement vulnerability management and remediation processes to minimize security risks.
3. **Compliance & Regulatory Alignment:** Ensure adherence to all applicable security, privacy, and regulatory requirements relevant to the system's operations and data handling. Perform and provide results of third-party security assessments (e.g., SOC 2 Type II audits, penetration tests).  
   The system must support secure document handling, including:

* Encryption of files during upload and download
* Malware and virus scanning prior to access
* Enforcement of file type and size restrictions
* The vendor must submit comprehensive documentation outlining implemented security controls, operational policies, and evidence of continuous compliance throughout the system lifecycle.

1. **Digital Signatures**: The system must support legally binding digital signatures for high-value transactions and critical business workflows. Integration with trusted digital signature platforms (e.g., DocuSign, Adobe Sign) is required to ensure document authenticity, non-repudiation, and auditability, and must comply with all applicable legal and regulatory standards. Supported use cases include, but are not limited to:

* Retirement applications
* Beneficiary changes
* Tax withholding elections

###### 3.8 - Fraud Prevention and Detection Features

OCERS seeks a comprehensive, integrated fraud detection and prevention framework as part of the Pension Administration System (PAS) to safeguard member benefits, reduce the risk of overpayments, and ensure the integrity of pension operations. The framework must enable proactive detection, investigation, and mitigation of fraud across all relevant channels and workflows, while maintaining compliance with applicable laws and regulations.

Fraud detection capabilities may be provided natively within the PAS or through secure, standards-based integration with third-party tools or services. All proposed solutions should minimize data duplication, support appropriate data privacy protections, and provide full transparency and auditability of fraud detection activities.

The proposed solution should support or integrate with services that address the following fraud prevention domains:

* **Identity Fraud Prevention:** Real-time fraud detection using digital identity intelligence, behavioral analysis, and machine learning (e.g., LexisNexis ThreatMetrix, Phone Finder, Emailage).
* **Account Takeover Prevention:** Detection and prevention of unauthorized access (e.g., LexisNexis, Human Security, SEON).
* **Bank Account Fraud Prevention:** Verification of financial accounts via one or more methods, including multi-factor authentication, real-time verification, and transaction monitoring (e.g., Plaid, LexisNexis Bankers Almanac Validate, LSEG Bank Account Verification, Lyons).
* **Call Center Fraud Prevention:** Authentication of inbound callers through various methods (e.g., one-time passcodes, voice biometrics, caller ID verification, or AI-driven analysis).
* **Deceased Member Fraud Prevention:** Connectivity to multiple automated death matching services to eliminate manual intervention, reduce handling of personally identifiable information (PII), and minimize benefit over payments.
* **Vital Records Verification:** Electronic validation and retrieval of vital record information, minimizing the need for manual document reviews.
* **Address Verification:** USPS-verified address validation for fraud detection and secure communication (e.g., LexisNexis Best Address, Esendex).

The proposed solution should also meet the following non-functional and operational requirements:

* Real-time or near-real-time detection and response capabilities
* Configurable fraud scoring thresholds and rule-based detection logic
* Support for configurable alerts and notification workflows
* Audit trail for all fraud-related events, decisions, and user actions
* Role-based access controls for fraud monitoring and administration
* Case management tools for investigation, tracking, resolution, and escalation

Respondents are encouraged to propose their preferred fraud prevention tools, services, and methodologies that best meet the requirements outlined in this RFP. The examples provided above are for illustrative purposes only and do not constitute endorsements or recommendations by OCERS.

###### 3.9 - Secure Software Development

The selected vendor must adhere to secure software development practices to ensure the confidentiality, integrity, and availability of the Pension Administration System. The vendor is expected to:

1. **Secure Development Lifecycle (SDLC):** Incorporate security best practices throughout the SDLC, including requirements definition, design, development, testing, deployment, and maintenance. This includes threat modeling (e.g., STRIDE), secure design reviews, secure coding standards (e.g., SEI CERT or OWASP), and automated security testing integrated into the CI/CD pipeline.
2. **Compliance & Standards:** Demonstrate alignment with industry recognized secure software development frameworks, such as the NIST Secure Software Development Framework (SSDF, SP 800-218), OWASP Application Security Verification Standard (ASVS), and applicable portions of ISO/IEC 27001 and 27034. Compliance with frameworks should be evidenced through policies, procedures, and development artifacts.
3. **Vulnerability Management:** Implement a vulnerability management process that includes continuous integration of static (SAST), dynamic (DAST), and software composition analysis (SCA) tools. Penetration tests must be performed at least annually and prior to major releases. The vendor must have a documented vulnerability disclosure policy and process in place and must remediate critical vulnerabilities in a timely manner upon discovery.
4. **Third-Party Components:** Provide and maintain a Software Bill of Materials (SBOM) for all open-source and third-party components used. All components must be actively maintained, free from known vulnerabilities (as defined in NVD or CVE databases), and must comply with license requirements. Components with high-risk licenses (e.g., copyleft) require explicit approval.
5. **Access Controls & Secure Authentication:** Implement role-based access control (RBAC), multi-factor authentication (MFA), and least-privilege principles for all system components (e.g., administrative interfaces, APIs, and deployment pipelines).
6. **Data Protection & Encryption:** Apply encryption for data at rest and in transit using current NIST-approve cryptographic standards.
7. **Secure Deployment & Patching:** Provide a structured process for delivering and deploying security updates, patches, and fixes in a timely manner, at no additional cost to the customer.
8. **Code Review & Developer Training:** Require secure code reviews and automated static analysis prior to release. Development staff must receive annual secure coding training, with content aligned to OWASP Top 10, NIST SSDF, and current attack trends. Training completion records must be available upon request.

The vendor must provide documentation demonstrating compliance with these requirements, including, but not limited to secure coding policies, secure design artifacts, threat models, security test results, vulnerability scan reports, and remediation plans.

###### 3.10 - Release and Deployment Management

To ensure the continued stability, scalability, and maintainability of the Pension Administration System (PAS), respondents must propose a comprehensive Release and Deployment Management strategy. The strategy must support seamless integration of the PAS Line-of-Business (LOB) application with all relevant components, including third-party systems such as CRM-CEC, contact center platforms, and middleware or integration services.

The proposed approach must align with modern release management practices (e.g., ITIL, DevOps) and include detailed plans for managing deployments across development, testing, and production environments with minimal disruption to OCERS operations.

1. Release and Deployment Strategy Overview

Respondents must provide a structured and well-documented strategy that includes:

* A defined release lifecycle, including planning, development, testing, deployment, and post-deployment validation.
* Classification of release types (e.g., minor updates, major upgrades, patches, and emergency fixes) and their expected frequency.
* Clear procedures for coordinating deployments across interdependent systems.
* A documented Change Calendar process with scheduling aligned to OCERS-approved maintenance windows.

1. Environment and Automation Requirements

The deployment approach must:

* Include a clearly defined set of environments (e.g., Development, QA, UAT, Staging, Production) with environmental parity to minimize deployment risk.
* Use automated deployment pipelines (e.g., CI/CD tools such as Azure DevOps, GitHub Actions, Jenkins) to reduce manual errors and accelerate delivery.
* Support infrastructure-as-code (IaC) practices, if applicable, to ensure repeatable and auditable deployments.
* Incorporate automated smoke tests and post-deployment health checks to confirm successful releases.
* Support feature flagging or similar mechanisms to decouple deployment from feature release, enabling new functionality to be deployed but selectively enabled. This helps mitigate risk and allows for staged rollouts.

1. Testing, Validation, and Quality Assurance

A rigorous, multi-layered pre-production testing process is required, including:

* Automated and manual testing for functionality, regression, performance, and security.
* Clear exit criteria for promotion between environments.
* Inclusion of OCERS-specific test cases and representative data sets.
* All test plans, results, and defect resolution procedures must be made available to OCERS prior to deployment approvals.

1. Version Control, Rollback, and Dependency Management

Respondents must:

* Employ robust version control mechanisms that support traceability, rollback, and auditability of all changes.
* Provide and document a rollback mechanism for each release type that includes all dependent components (e.g., code, configuration, database, and integration points). This ensures that any issues encountered during or after deployment can be remediated swiftly and with minimal disruption.
* Clearly define rollback triggers, responsible roles, estimated duration, and contingency protocols for restoring previous stable states.

1. Compatibility and Upgrade Support

To support long-term sustainability, the deployment approach must:

* Ensure backward compatibility with existing OCERS components during upgrades or hotfixes.
* Prevent disruptions due to OCERS-specific configurations by using modular customization approaches (e.g., configuration over code, extension points).
* Support zero-downtime or low-impact deployment models where feasible (e.g., blue-green or canary deployments).

1. Post-Go-Live Release Management

Respondents must define a long-term upgrade and maintenance plan that includes:

* Processes for regularly scheduled updates, emergency patches, and enhancements.
* A release roadmap that demonstrates planned feature delivery over time.
* Support for future scalability and continuous improvement without requiring major reimplementation.

1. Release Monitoring and Measurement

To ensure the stability and success of each release, the solution must include:

* Real-time monitoring of application and infrastructure health during and after releases.
* Dashboards and alerting mechanisms to track key indicators such as system performance, error rates, latency, and integration failures.
* Integration with observability tools (e.g., logging, metrics, tracing) to quickly identify and isolate release-induced issues.
* Post-release validation procedures that combine system metrics with functional verification.

1. Communication and Coordination

To minimize operational risk, the vendor must:

* Provide advance notification to OCERS administrators of all planned releases, including timing, scope, impact, and rollback plans.
* Maintain clear communication channels during deployments, with real-time updates and status reporting.
* Participate in release planning meetings with OCERS technical staff when required.

1. Effort Required from OCERS

Respondents must clearly identify the OCERS staffing and time commitment needed to support release and deployment activities. This includes:

* Roles and responsibilities for OCERS staff during routine, major, and emergency deployments.
* Estimated time required for testing, validation, and coordination.
* Training or documentation needed to support internal understanding and participation in the deployment process.

By delivering a comprehensive, automated, and risk-managed Release and Deployment Management strategy — with capabilities such as rollback mechanisms, feature toggling, and real-time monitoring — respondents will enable OCERS to maintain a reliable, secure, and future-ready Pension Administration System that meets operational needs and supports long-term transformation goals.

**EXHIBIT B**

Fee Schedule\*

1. **Fees and Expenses.** Contractor agrees to accept the compensation set forth in this Exhibit B as full payment for performing all Services, including all staffing and materials required, for any reasonably unforeseen difficulties which may arise or be encountered in the execution of the Services, for risks connected with the Services, and for performance by Contractor of all its duties and obligations under the Agreement. OCERS will pay the following fees in accordance with the provisions of this Agreement:
2. *Respondents must address and separate each fee category, including software licenses, user access fees, customization versus configuration fees, and maintenance and support fees.*
3. **Payment Terms – Payment in Arrears:**  Invoices for completed work are to be submitted in arrears to OCERS unless otherwise directed in this Agreement. Payment by OCERS will be net thirty (30) days after receipt and approval of an invoice in a format acceptable to OCERS. All payments should be deliverables-based and tied to a stated Deliverable Expectation Document (DED) process per the Request for Proposal (RFP) or final Best and Final Offer (BAFO).

Invoice and support documentation are to be forwarded to:

Orange County Employees Retirement System

2223 E. Wellington Avenue

Santa Ana, CA  92701

Attention:  Accounts Payable

Email: Accountspayable@ocers.org

**EXHIBIT C  
Key Personnel**

**EXHIBIT D**

Request for Proposal

**EXHIBIT E**

Response to Request for Proposal

**EXHIBIT F**

Information Security and Privacy

**EXHIBIT G**

Service Level Agreement

**EXHIBIT H**

Service Agreement Definitions

1. “Exploit” means to install, operate, reproduce, maintain and or otherwise use for the operation and administration of OCERS, the performance of OCERS duties and obligations, and OCERS business, operations, and other functions related thereto
2. “Law” means any statute, ordinance, regulation, rule, code, order, constitution, common law, or other requirement of any federal, state, local government, and any judicial or administrative order or decree.
3. “Modify” means to modify, update, or improve.
4. “Open Source Components” means any software component that is subject to any open source copyright license agreement, including software available under the GNU Affero General Public License (AGPL), GNU General Public License (GPL), GNU Lesser General Public License (LGPL), Mozilla Public License (MPL), Apache License, BSD licenses, or any other license that is approved by the Open Source Initiative.
5. “Personally Identifiable Information” means any information that can be used to identify an individual including information that can be used on its own or with other information to identify, contact, or locate a single person, or to identify an individual in context. Examples of Personally Identifiable Information include but are not limited to names, Social Security numbers, addresses, phone numbers, email addresses, and passport numbers.
6. “Protected Health Information” means protected health information as defined under the Health Insurance Portability and Accountability Act of 1996 (HIPAA).
7. “Security Incident” means the unauthorized access, use, destruction, loss, alteration, or disclosure of OCERS Data, OCERS Confidential Information, and/or Personally Identifiable Information.
8. “Software” means software that Contractor provides to OCERS in connection with the Services, including all (i) Contractor updates, upgrades, fixes, patches, and other modifications, (ii) computer programs that are Third-Party Materials, and (iii) Open-Source Components.
9. “Specifications” means, for any Software, the specifications therefor set forth in the relevant Statement of Work.
10. “Third Party Materials” means all writings, technology, inventions, discoveries, improvements, enhancements, trademarks, trade secrets, developments, processes, procedures, designs, content, documentation, hardware, software, creative works, information, works of authorship, techniques, methods, ideas, concepts, research, proposals, products, services, materials, and all other work product or other items of any nature whatsoever in which any Person other than OCERS or Contractor owns any Intellectual Property Right, but specifically excluding Open Source Components.
11. “User Acceptance Testing” means the testing of the Software to be conducted by OCERS to demonstrate that the Software conforms to the applicable Specifications in all material respects.