OCERS Horizon Pension Administration Solution

Request for Proposal

May 2025

Orange County Employees Retirement System (OCERS)
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Section 1: Introduction

The Orange County Employees Retirement System (OCERS), serving over 50,000 members, is seeking proposals from qualified firms to modernize its Pension Administration System (PAS). This initiative aims to enhance operational efficiency, member experience, and system scalability.

Interested firms must submit questions and their proposals through PlanetBids by the deadlines listed in Section 6.1 - RFP Schedule. Submission instructions are provided in Section 7 - Proposal Requirements.

1.1 – Key Challenges

The findings summarized below represent the most critical challenges and limitations that must be addressed to support OCERS modernization goals. These findings were identified as "key" based on their direct impact on operational efficiency, member experience, and system scalability. Additional findings and in-depth details are documented in the sections below, but the following reflect the key challenges of our current system:

- **Pension Administration System:** Inflexible architecture, manual processes, technical and functional debt, and outdated security measures.

- **Self-Service Portals:** Limited functionality for members and employers, lacking secure uploads, OCERS is unable to make updates, no enhanced features, no ability to customize member experience, no mobile application.

- **Engagement and Communication:** Absence of proactive notifications and seamless omni-channel support.

- **Reporting and Data Governance:** Inconsistent reports, lack of actionable dashboards, and manual reconciliation.

- **System Integration:** Disconnected systems lead to inefficiencies and increased manual work.

1.2 - Purpose of the RFP

OCERS aims to partner with a prime vendor to modernize its PAS, addressing critical operational gaps due to outdated modules.

OCERS Horizon will be a modern PAS that prioritizes automation, efficiency, and enhanced user experience for members, employers, staff, and partners. This modern solution leverages advanced technologies, strategic capabilities, and platforms, seamlessly integrated with modular architecture. The goal is to create a highly automated, modular, and scalable system that streamlines business processes, improves data accuracy, and provides superior self-service experience. OCERS aims to replace its monolithic legacy system with a flexible, modular architecture that enables straight-through processing, minimizes manual interventions, and supports continuous innovation while ensuring data and system security and regulatory standards compliance.

1.3 – OCERS Horizon - A Modern Comprehensive Solution

Figure 1: OCERS Horizon Vision
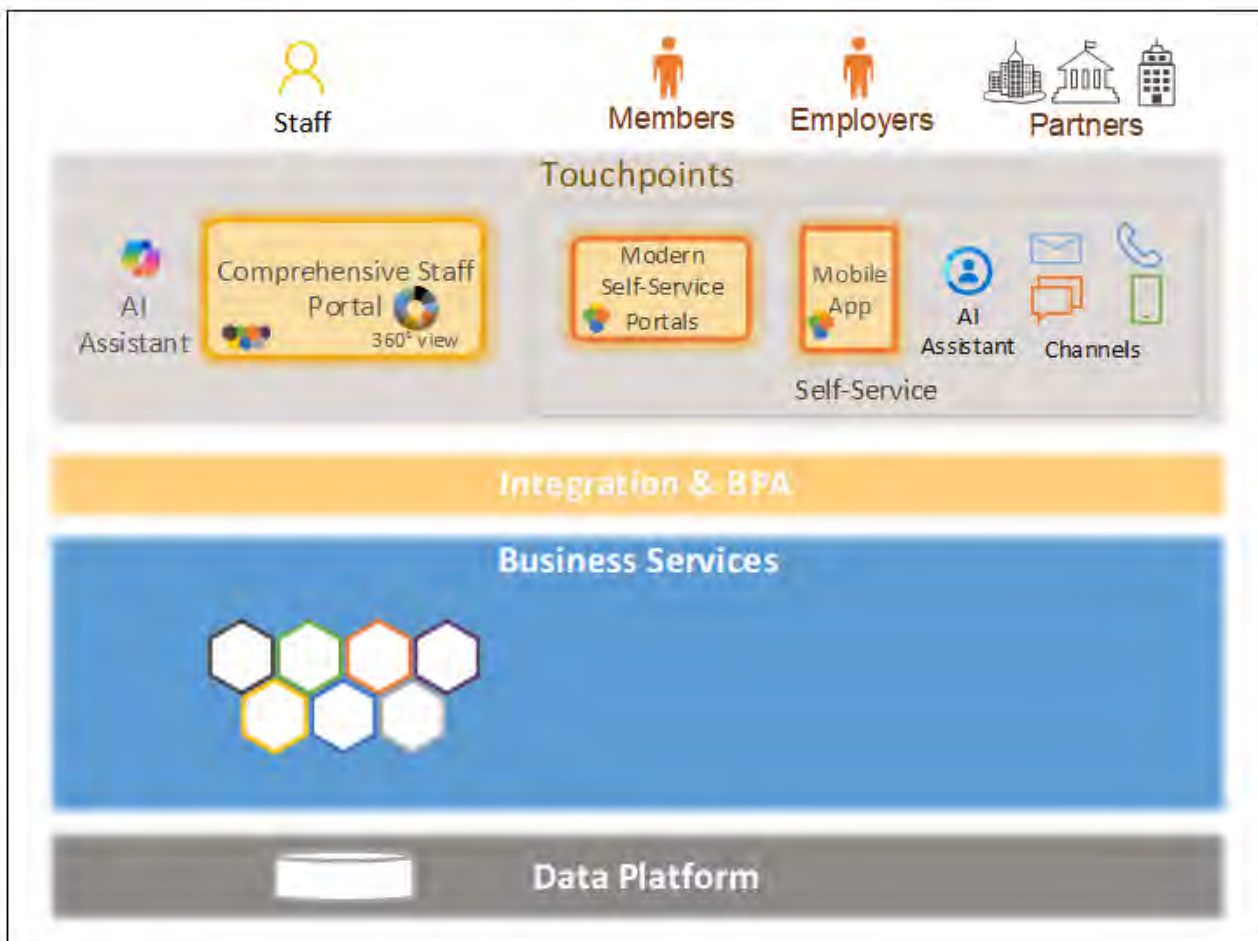
A key component of this vision is delivering a comprehensive, omnichannel customer engagement platform that provides members and employers with intuitive self-service portals, mobile access, and real-time support. The new PAS will feature seamless integration with document management, correspondence management, and contact center solutions to improve communication and service delivery. Additionally, robust data analytics and business intelligence capabilities will enhance reporting, analytics, and strategic decision-making. OCERS modernization strategy is centered on adopting modular architecture (e.g., composable architecture), ensuring the system can evolve with technological advancements, customer needs, reduce operational complexities, and offer long-term value while mitigating risks associated with vendor lock-in.

An Integration Platform forms a vital part of the target architecture, enabling seamless data flow between all systems. It orchestrates automated workflows and allows OCERS to utilize services from third-party vendors from the marketplace. The integration platform helps consolidate the different systems OCERS interacts with, ensuring data consistency and simplifying complex interactions.

Unlike the monolithic architecture of the past, the new PAS is envisioned to be designed with a modular architecture, allowing Business Services to be leveraged independently. This aligns with OCERS vision for flexibility, scalability, and faster adaptation to changes. It consists of

interconnected services that can be easily composed or replaced, ensuring agility and continuous innovation. Each service is designed for optimal integration and independence.

The Data Platform provides the backbone for analytics, reporting, and actionable insights. By centralizing data collected from different parts of the system, OCERS will utilize it for dashboards, performance analysis, actuarial evaluations, and member demographics. This data-driven approach allows OCERS to monitor service quality, predict future needs, and adjust their strategy to align with organizational goals. This data platform will also provide a foundation for Machine Learning (ML) and Artificial Intelligence (AI) opportunities which OCERS hopes to leverage.

The full text of OCERS Vision for the Future is available in Attachment E - Appendix A.

Section 2: Background

OCERS was established in 1945 under the County Employees Retirement Law (CERL) of 1937, providing members with retirement, disability, death, and cost-of-living benefits. There are approximately 50,000 plus members served by OCERS, of which over 21,000 are retirees. OCERS is governed by a nine-member Board of Retirement ("Board"), which has plenary authority and fiduciary responsibility for the investment of moneys and administration of the retirement system. OCERS has over one hundred employees, and the Board appoints a Chief Executive Officer responsible for the agency's management. For additional information about OCERS, please refer to the OCERS website at ocers.org.

Mission: We provide secure retirement and disability benefits with the highest standards of excellence.

Vision: To be a trusted partner providing premier pension administration, distinguished by consistent, quality member experiences and prudent financial stewardship.

Values:
    Open and Transparent
    Commitment to Superior Service
    Engaged and Dedicated Workforce
    Reliable and Accurate
    Secure and Sustainable

OCERS Promise:

Below are the main statements from the OCERS Promise. The details can be found on OCERS website: https://www.ocers.org/post/ocers-promise

- We are your retirement experts.

- We are a member-first organization.

- We are your trusted partner.

- We are invested in your future.

- We are focused on excellence.

- We are an inclusive workplace.

- We are dedicated to serving the Orange County community.
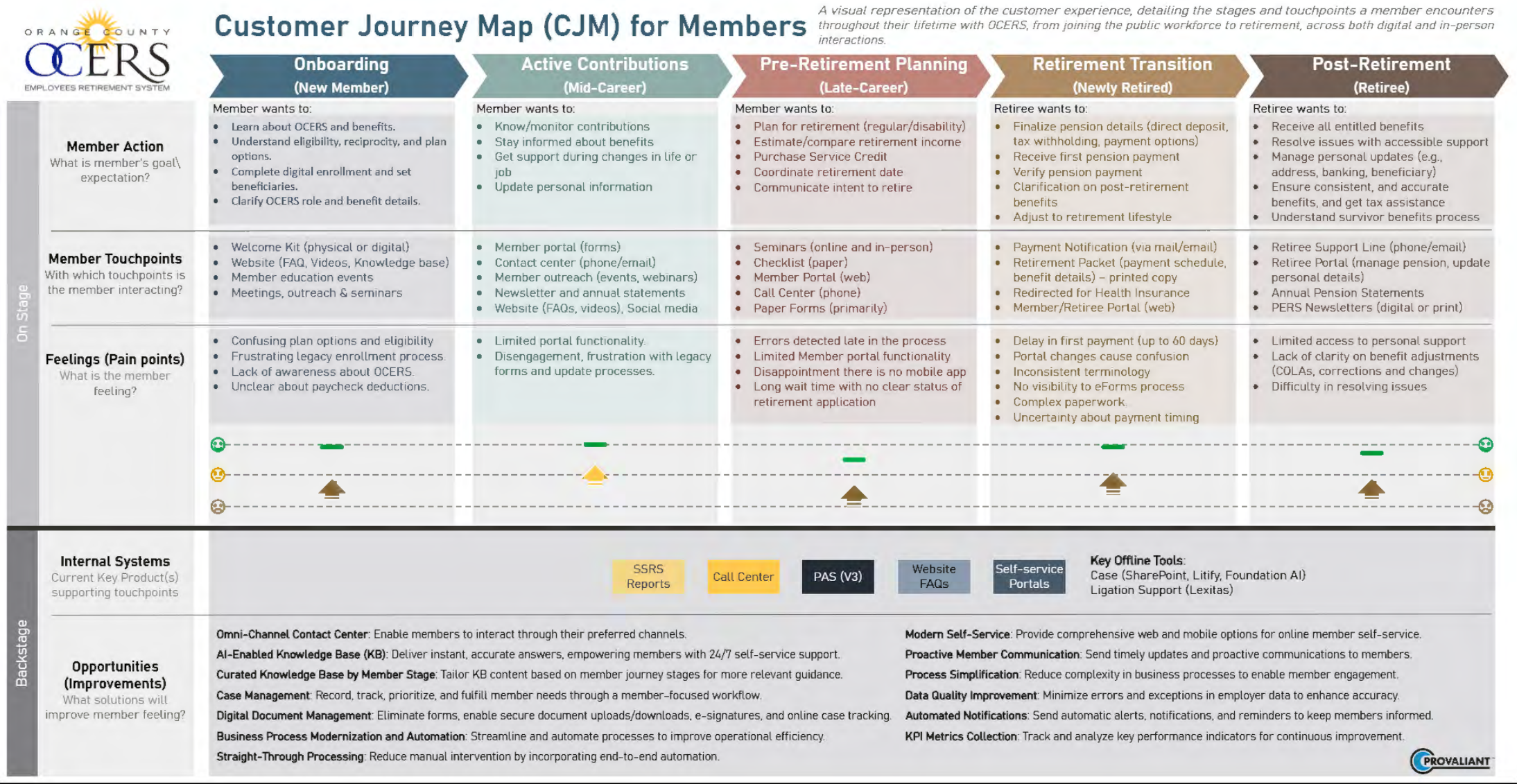
2.1 Business Overview

This section provides information on the plan descriptions, business areas and business functions within OCERS.

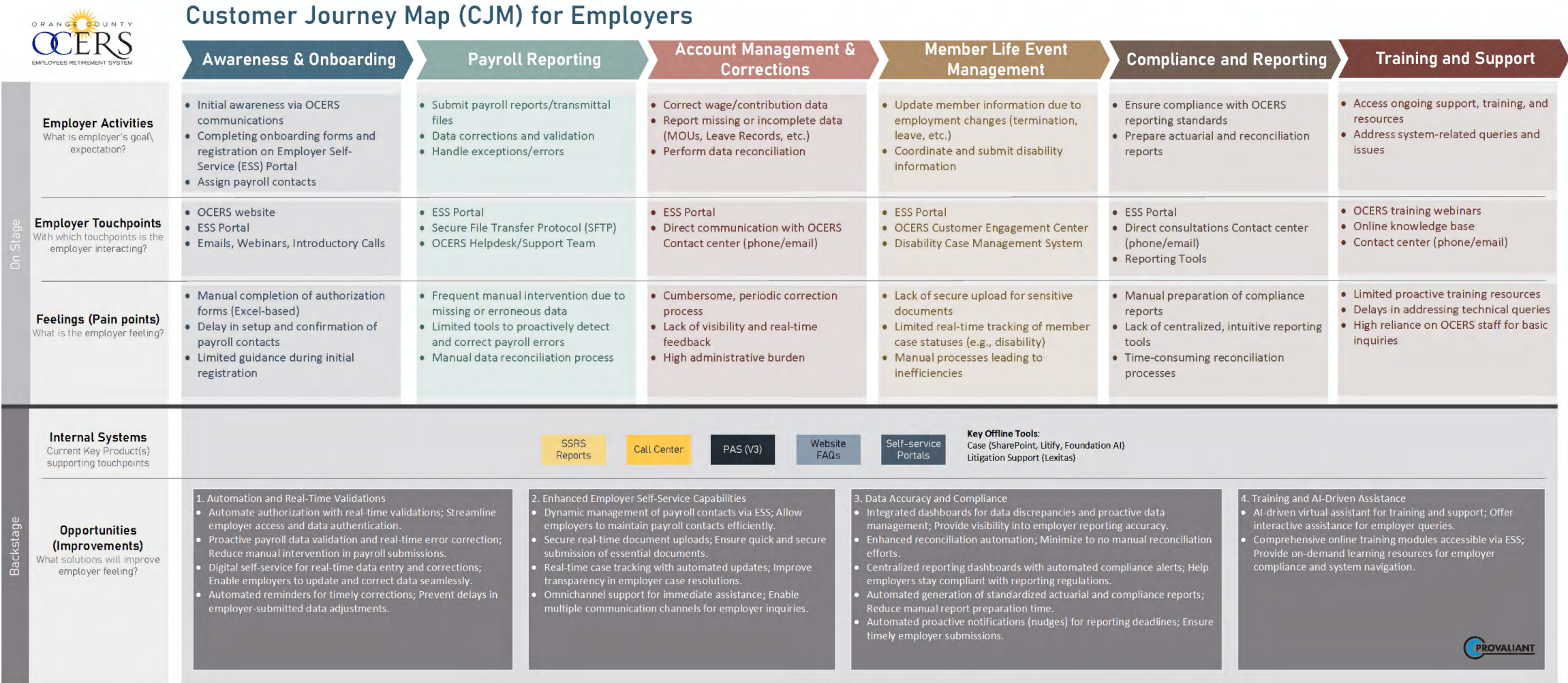001 – Plan Description: OCERS Summary Plan Descriptions are available on OCERS website: https://www.ocers.org/summary-plan-description

Figure 2: Member Journey Map - A view of the end-to-end OCERS member experience, from enrollment to retirement and beyond, highlighting key member's perspective pain points.

Customer Journey Map (CJM) for Members

A visual representation of the customer experience, detailing the stages and touchpoints a member encounters throughout their lifetime with OCERS, from joining the public workforce to retirement, across both digital and in-person interactions.

	Onboarding (New Member)	Active Contributions (Mid-Career)	Pre-Retirement Planning (Late-Career)	Retirement Transition (Newly Retired)	Post-Retirement (Retiree)
Member Action What is member's goal\expectation?	Member wants to: • Learn about OCERS and benefits. • Understand eligibility, reciprocity, and plan options. • Complete digital enrollment and set beneficiaries. • Clarify OCERS role and benefit details.	Member wants to: • Know/monitor contributions • Stay informed about benefits • Get support during changes in life or job • Update personal information	Member wants to: • Plan for retirement (regular/disability) • Estimate/compare retirement income • Purchase Service Credit • Coordinate retirement date • Communicate intent to retire	Retiree wants to: • Finalize pension details (direct deposit, tax withholding, payment options) • Receive first pension payment • Verify pension payment • Clarification on post-retirement benefits • Adjust to retirement lifestyle	Retiree wants to: • Receive all entitled benefits • Resolve issues with accessible support • Manage personal updates (e.g., address, banking, beneficiary) • Ensure consistent, and accurate benefits, and get tax assistance • Understand survivor benefits process
Member Touchpoints With which touchpoints is the member interacting?	• Welcome Kit (physical or digital) • Website (FAQ, Videos, Knowledge base) • Member education events • Meetings, outreach & seminars	• Member portal (forms) • Contact center (phone/email) • Member outreach (events, webinars) • Newsletter and annual statements • Website (FAQs, videos), Social media	• Seminars (online and in-person) • Checklist (paper) • Member Portal (web) • Call Center (phone) • Paper Forms (primarily)	• Payment Notification (via mail/email) • Retirement Packet (payment schedule, benefit details) – printed copy • Redirected for Health Insurance • Member/Retiree Portal (web)	• Retiree Support Line (phone/email) • Retiree Portal (manage pension, update personal details) • Annual Pension Statements • PERS Newsletters (digital or print)
Feelings (Pain points) What is the member feeling?	• Confusing plan options and eligibility • Frustrating legacy enrollment process. • Lack of awareness about OCERS. • Unclear about paycheck deductions.	• Limited portal functionality. • Disengagement, frustration with legacy forms and update processes.	• Errors detected late in the process • Limited Member portal functionality • Disappointment there is no mobile app • Long wait time with no clear status of retirement application	• Delay in first payment (up to 60 days) • Portal changes cause confusion • Inconsistent terminology • No visibility to eForms process • Complex paperwork. • Uncertainty about payment timing	• Limited access to personal support • Lack of clarity on benefit adjustments (COLAs, corrections and changes) • Difficulty in resolving issues

On Stage

Backstage

| **Internal Systems** Current Key Product(s) supporting touchpoints | SSRS Reports | Call Center | PAS (V3) | Website FAQs | Self-service Portals | **Key Offline Tools:** Case (SharePoint, Litify, Foundation AI) Ligation Support (Lexitas) |

Opportunities (Improvements) What solutions will improve member feeling?

Omni-Channel Contact Center: Enable members to interact through their preferred channels.
AI-Enabled Knowledge Base (KB): Deliver instant, accurate answers, empowering members with 24/7 self-service support.
Curated Knowledge Base by Member Stage: Tailor KB content based on member journey stages for more relevant guidance.
Case Management: Record, track, prioritize, and fulfill member needs through a member-focused workflow.
Digital Document Management: Eliminate forms, enable secure document uploads/downloads, e-signatures, and online case tracking.
Business Process Modernization and Automation: Streamline and automate processes to improve operational efficiency.
Straight-Through Processing: Reduce manual intervention by incorporating end-to-end automation.

Modern Self-Service: Provide comprehensive web and mobile options for online member self-service.
Proactive Member Communication: Send timely updates and proactive communications to members.
Process Simplification: Reduce complexity in business processes to enable member engagement.
Data Quality Improvement: Minimize errors and exceptions in employer data to enhance accuracy.
Automated Notifications: Send automatic alerts, notifications, and reminders to keep members informed.
KPI Metrics Collection: Track and analyze key performance indicators for continuous improvement.

003 – Employer Journey Map and Pain Points

Figure 3: Employer Journey Map - A view of the end-to-end OCERS employer experience, highlighting the key pain points of the employer journey.

Customer Journey Map (CJM) for Employers

		Awareness & Onboarding	Payroll Reporting	Account Management & Corrections	Member Life Event Management	Compliance and Reporting	Training and Support
On Stage	**Employer Activities** What is employer's goal\expectation?	• Initial awareness via OCERS communications • Completing onboarding forms and registration on Employer Self-Service (ESS) Portal • Assign payroll contacts	• Submit payroll reports/transmittal files • Data corrections and validation • Handle exceptions/errors	• Correct wage/contribution data • Report missing or incomplete data (MOUs, Leave Records, etc.) • Perform data reconciliation	• Update member information due to employment changes (termination, leave, etc.) • Coordinate and submit disability information	• Ensure compliance with OCERS reporting standards • Prepare actuarial and reconciliation reports	• Access ongoing support, training, and resources • Address system-related queries and issues
	Employer Touchpoints With which touchpoints is the employer interacting?	• OCERS website • ESS Portal • Emails, Webinars, Introductory Calls	• ESS Portal • Secure File Transfer Protocol (SFTP) • OCERS Helpdesk/Support Team	• ESS Portal • Direct communication with OCERS Contact center (phone/email)	• ESS Portal • OCERS Customer Engagement Center • Disability Case Management System	• ESS Portal • Direct consultations Contact center (phone/email) • Reporting Tools	• OCERS training webinars • Online knowledge base • Contact center (phone/email)
	Feelings (Pain points) What is the employer feeling?	• Manual completion of authorization forms (Excel-based) • Delay in setup and confirmation of payroll contacts • Limited guidance during initial registration	• Frequent manual intervention due to missing or erroneous data • Limited tools to proactively detect and correct payroll errors • Manual data reconciliation process	• Cumbersome, periodic correction process • Lack of visibility and real-time feedback • High administrative burden	• Lack of secure upload for sensitive documents • Limited real-time tracking of member case statuses (e.g., disability) • Manual processes leading to inefficiencies	• Manual preparation of compliance reports • Lack of centralized, intuitive reporting tools • Time-consuming reconciliation processes	• Limited proactive training resources • Delays in addressing technical queries • High reliance on OCERS staff for basic inquiries

Internal Systems
Current Key Product(s) supporting touchpoints

SSRS Reports | Call Center | PAS (V3) | Website FAQs | Self-service Portals

Key Offline Tools:
Case (SharePoint, Litify, Foundation AI)
Litigation Support (Lexitas)

| | **Opportunities (Improvements)**
What solutions will improve employer feeling? | **1. Automation and Real-Time Validations**
• Automate authorization with real-time validations; Streamline employer access and data authentication.
• Proactive payroll data validation and real-time error correction; Reduce manual intervention in payroll submissions.
• Digital self-service for real-time data entry and corrections; Enable employers to update and correct data seamlessly.
• Automated reminders for timely corrections; Prevent delays in employer-submitted data adjustments. | **2. Enhanced Employer Self-Service Capabilities**
• Dynamic management of payroll contacts via ESS; Allow employers to maintain payroll contacts efficiently.
• Secure real-time document uploads; Ensure quick and secure submission of essential documents.
• Real-time case tracking with automated updates; Improve transparency in employer case resolutions.
• Omnichannel support for immediate assistance; Enable multiple communication channels for employer inquiries. | **3. Data Accuracy and Compliance**
• Integrated dashboards for data discrepancies and proactive data management; Provide visibility into employer reporting accuracy.
• Enhanced reconciliation automation; Minimize to no manual reconciliation efforts.
• Centralized reporting dashboards with automated compliance alerts; Help employers stay compliant with reporting regulations.
• Automated generation of standardized actuarial and compliance reports; Reduce manual report preparation time.
• Automated proactive notifications (nudges) for reporting deadlines; Ensure timely employer submissions. | | | **4. Training and AI-Driven Assistance**
• AI-driven virtual assistant for training and support; Offer interactive assistance for employer queries.
• Comprehensive online training modules accessible via ESS; Provide on-demand learning resources for employer compliance and system navigation. |

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004 – Key OCERS Business Processes

The following outlines OCERS business operations and corresponding key business processes. Each business process covers several functional areas.

Table 1.0: Key OCERS Business Processes

Member Services	Employer Services	Finance Services	Disability Services	Supporting Services
•Member Information Mainenance •Member Customer Relations •Service Credit Purchase (SCP) Processing •Reciprocity Procsssing •Member Termination •Contribution Withdrawal or Rollover •Active Member Death Processing •Death After Retirement Processing •Benefit Estimates •Disability Estimates •Retirement Application Processing •Retirementand Disability Payroll Processing •Retire Return to Work Processing •CEO Determination Appeals •Compensation Limits/Tax Compliance •COLA Processing •Legal Order Processing •Member Statements •Member Portal/Self Service •Interest Posting •Actuarial Extract Processing	•Employer Set Up •Employer Information Maintenance •Member Enrollment Processing •Employer Payroll Reporting •Member Information Maintenance •Employer Customer Relations •Employer Portal/Self Service	•General Ledger (G/L) Integration •Payment Processing •Finance and Reporting •Tax Reporting	•Disability Application Processing •Disability Appeals •Retiree Return to Work Eligibility	•General Legal Support •Security •Audit/Logging •Imaging/Document Management •Workflow Specification •IT Support •Executive Support •Plan Maintenance

The following details provide examples of sub-processes that fall under the key business processes. This is not a complete list of all OCERS processes and sub-processes.

Table 1.1: Member Services

Member Information Mainenance	Member Customer Relations	Service Credit Purchase (SCP)	Reciprocity Procsssing	Member Termination
Demographics(Address, Maritial, Name change), Beneficiary designation, Returned mail processing/tracking	Phone, Email, Chat, Workshops/Seminars, Secure Message, Couseling	Eligbility, Application, Calculations, Contract, Payment/transfer, account updates	Eligibility, Application, Calculation, Payment/transfer, Account updates	Demographics (status) Account update, eligibility, member withdraws/retires or was not eligibile

Contribution Withdrawal or Rollover	Active Member Death Processing	Death After Retirement Processing	Benefit Estimates	Disability Estimates
Eligibility, Demographics (status) Application, Payment, Tax withholding, direct deposit, Account Updates	Member Eligibility, Termination, Beneficiary eligibility, Application, Base and Final Estimate, Calculations,Payment, Tax withholding, Direct Deposit, Account updates	Member eligbility, Beneficiary eligibility, Application, Payment, Account updates, death matching, tax reporting, tax withholding,Direct deposit, benefit calculations	What if parameters, eligibility, disclaimers, business rules, beneficiaary eligibility, Base and Final FAS calculations, service audits, tax withholding, account updates, benefit improvement options (Buyback or SCP, Working longer), Alternative Payment options	What if parameters, eligibility, disclaimers, business rules, beneficiaary eligibility, Base and Final FAS calculations, service audits, tax withholding, reciprocity offsets, account updates, benefit improvement options (Buyback or SCP, Working longer), Alternative Payment options

Retirement Application Processing

Eligibility, Demographics (status), Application, Portal submission, Beneficiary eligibility, payment options, Service credits, account updates

Retirement Payroll Processing

Demographics (status, address, marital), Beneficiary eligibility, Final FAS Calculations Base and FInal, Service audit, Deduction processing, tax withholding processing, overpayments/corrections, reporting, tax reporting, direct deposit, ach, check processing, GL, account, limit processes, DRO processing

Disability Payroll Processing

Demographics (status, address, marital), Beneficiary eligibility, Final FAS Calculations Base and FInal, Service audit, Deduction processing, tax withholding processing, overpayments/ corrections, reporting, tax reporting, direct deposit, ach, check processing, GL, account, limit processes, reciprocity offsets, DRO processing

Retiree Return to Work Processing

Eligibility, demographics (status) tracking, limitations, retirement terminations, Board approval

CEO Determination Appeals

including reciprocity, SCP, non SCP, withdrawal, benefit calcualtions, FAS calcualtions, disability, eligibility, service credits, pensionability

Compensation Limits/Tax Compliance

Stop member contributions, once annual limit has been reached, 415(m), replacement benefit report

COLA Processing

Rate, annual processing, override batches, STAR COLA, split

Legal Order Processing

Domestic Relations Order (DRO) processing, joinder, child support, adverse interest, survivor/beneficiary eligibiblity, estate/will eligibility, guardianships, power of attorney (POA), Income withholding orders (IWO), Levy

Member Statements

Active-On demand through member self service, Retired-Award letters, includes historical summary of Salary and service credit earned, pensionable earnings if retired, estmated future pension based on age of earliest eligibile retirement.

Member Correspondence

Member Correspondence, Confirmtion letters, First benefit letter, Eligibility letters, recalculation letters, income verification, administrative review letters, proof of life letters, student verification letters, targeted emails, newsletters, missing information letters, satisfaction surveys for specific transaction types

Table 1.2: Employer Services

Employer Set Up	Employer Information Maintenance	Member Enrollment Processing	Employer Payroll Reporting	Member Information Maintenance
New employer, Employer dissolution, Employer consolidation	Demographic, MOU, Rates, Plans, Pay Items, Job Classifications	Optional membership elections; Return to Work processing, Eligibility, Reciprocity election, Plan election	Contributing and non-contributing, as required, posting employer payments to employer transmittals, Payroll Adjustment, Exception review, Data correction	Demographic, Employment details, Beneficiary

Table 1.3: Finance Services

General Ledger (G/L) Integration	Payment Processing	Finance and Reporting	Tax Reporting
GL export for interest posting, disbursements, reserve transfers/closing transactions, member A/R, contributions and service credit purchase	Monthly retiree payroll, lump sum payroll, manual disbursement, off cycle, void/reissue, straight void, direct deposit, ACH, check processing	ACFR Various Reports, SCO Report Various Reports, Contributions by Rate Group, Benefit Payments by Rate Group	1099R, 1042-S, 945, DE9, DE9C, etc

Table 1.4: Disability Services

Disability Application Processing	Disability Appeals	Retiree Return to Work Eligibility
Eligibility, Personnel/Medical documents intake, document processing, PreMed creation, document review, IME evaluation, recommendation, case review, Disabilty Commitee/Board approval, account updates through integration with outside sytems.	Notices, Case log (case status, communications with parties, attorney/staff notes), document management	Eligibility, Personnel/Medical documents intake, document processing, PreMed creation, document review, IME evaluation, recommendation, case review, Disabilty Commitee/Board approval, account updates through integration with outside sytems.

Table 1.5: Other Supporting Services - Supporting services support the key business processes.

General Legal Support	Audit/Logging	Imaging/Document Management	Workflow Specification	IT Support
Legal memos and documents, contracts, public records requests	Audit trail, Internal and external audit support	Scanning, indexing, OCR, storage, integration	Configuration, integration across system	Security, General technical support

005 – Statutes, Constitutional Provisions and Administrative Rules

OCERS is governed by the County Employees Retirement Law (CERL), Public Employees Pension Reform Act (PEPRA), and OCERS Policies and Procedures (including OCERS Bylaws). All information is publicly available at the links below.

County Employees Retirement Law (CERL): Government Code sections 31450, et seq. (https://leginfo.legislature.ca.gov/faces/codes_displayexpandedbranch.xhtml?tocCode=GOV&division=4.&title=3.&part=3.&chapter=3.&article=

Public Employees Pension Reform Act (PEPRA): Government Code sections 7522, et seq. (https://leginfo.legislature.ca.gov/faces/codes_displayText.xhtml?lawCode=GOV&division=7.&title=1.&part=&chapter=21.&article=4.)

Policies: https://www.ocers.org/board-charters-and-policies

Administrative Procedures: https://www.ocers.org/administrative-procedures

Bylaws: https://www.ocers.org/sites/main/files/file-attachments/ocers_bylaws.pdf

Procurement and Contracting Policy: https://www.ocers.org/sites/main/files/file-attachments/procurementandcontractingpolicy_0.pdf?1701474937

In addition to the governing references listed above, OCERS honors agreement between members and employers in the form of Memorandums of Understanding (MOUs) and Personnel Salary Resolutions (PSRs). These are negotiated approximately every three years but can be changed at any time. They outline information applicable to benefit calculations performed by OCERS, such as, salary increases, vacation time, fringe benefits, holiday compensation, and pensionable pay items. The MOUs and PSRs are publicly available on the employer websites.

2.2 Current State of OCERS Technology Landscape

The following section describes the current state of the OCERS technology landscape as of the issuance of the RFP. There is the potential that some of these systems may change before the new solution goes live. The respondent should propose solutions that are able to integrate easily with existing systems and any new systems that may be required in the future.

The current state of the OCERS technology landscape features on-premises and cloud infrastructure, where the current Pension Administration System (PAS) runs on virtualized on-premises servers. OCERS utilizes Microsoft M365 cloud services and both on-premises and cloud applications to support its operational and member service needs.

001 - Hybrid Cloud Infrastructure

OCERS employs a hybrid cloud approach, using both on-premises applications and cloud-based services. The Active Directory is on-premises but synchronized with Entra ID, which is part of Microsoft M365 Cloud. The organization's email services use Microsoft Exchange Online. SharePoint is currently on premises with plans to migrate to SharePoint Online in 2025.

Figure 4: OCERS Current Cloud vs On-Premises

Active Applications: Cloud vs On-Prem

On-Prem: 25

20.3%

79.7% Cloud: 98
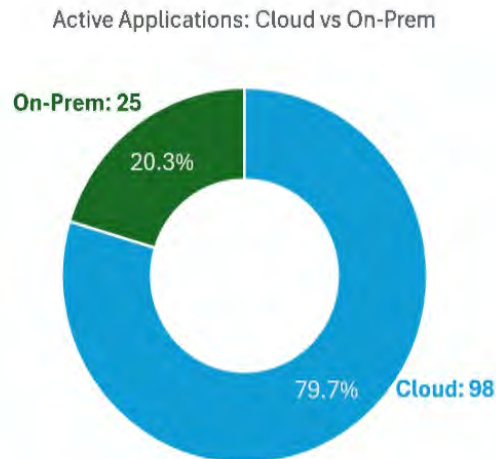
003 - Key Systems

The following systems are central to current OCERS operations, supporting members, employers, partner services, and internal processes.

Figure 5: Key Systems
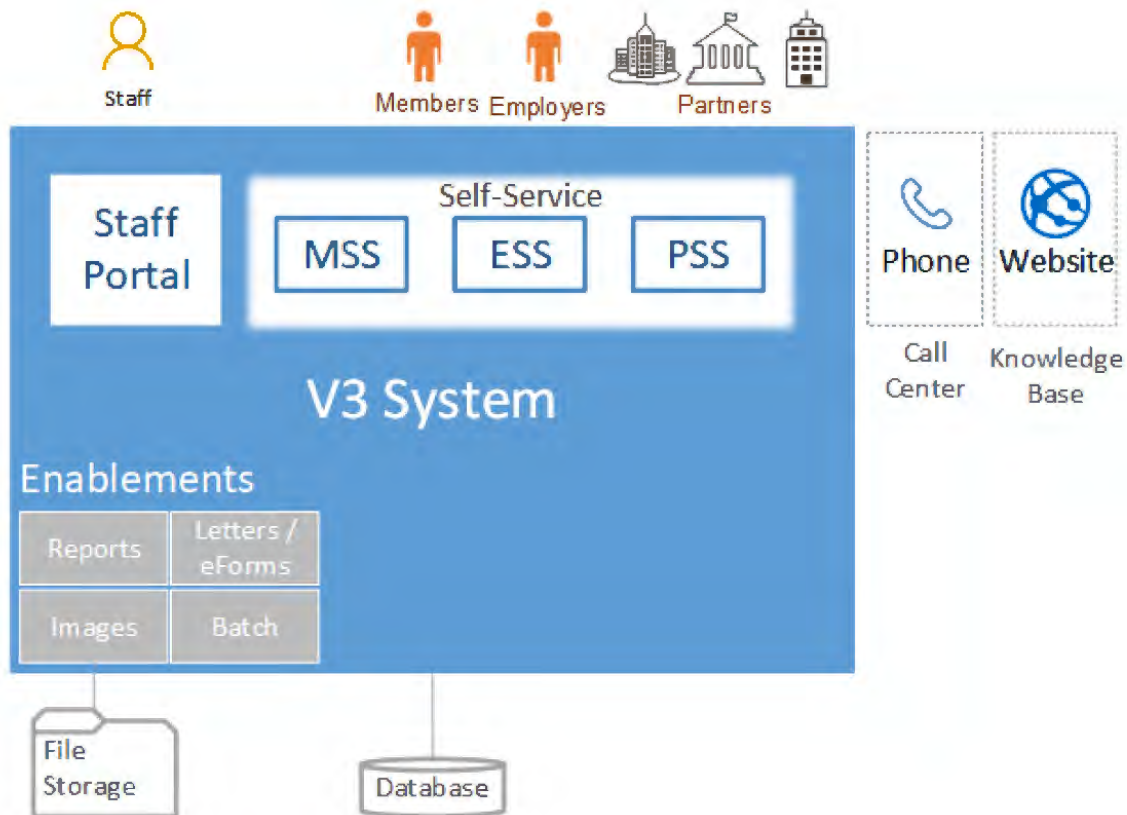
- **Pension Administration System (PAS)**: The Pension Administration System, referred to as V3 or V3 System, is the core system used to manage member services, including new

enrollments, contribution processing, member account maintenance, retirement processing, and payroll management. It supports critical business processes such as reciprocity, disability retirements, tax processing, and member outreach. This system is deployed on-premises, with real-time data replication between data centers to ensure data availability and business continuity. The V3 system also has the following built-in enablement:

- o **Enterprise Content Management (ECM)**: The ECM within V3 stores scanned documents, such as physical mail, in File Storage, with index data held in the V3 database. This provides centralized document storage and retrieval for member interactions and records management. The ECM capabilities utilize outdated IBM Daeja ViewOne for viewing documents and records.

- o **Correspondence Management**: The correspondence management in V3 generates basic communication needs such as letters, and forms for members and employers through the mail-merge method.

- o **Reporting**: V3 facilitates reporting through SQL Server Reporting Services (SSRS). SSRS generates paginated reports that support operations, and compliance requirements. V3 generates reports, providing critical data for operations, management, and regulatory compliance. These reports support various business functions, including financial analysis, member account maintenance, and operational performance assessments.

- **Self-Service Portals**: OCERS provides multiple self-service portals to facilitate interactions for members, employers, and partners. The **Member Self-Service Portal (MSS)** enables members to perform essential actions like submitting beneficiary changes, filing retirement applications, viewing benefit details, and accessing 1099R tax forms. The **Employer Self-Service Portal (ESS)** is dedicated to employers for uploading transmittal files, viewing/editing/correcting payroll reports, and using the age-at-entry calculator, while the **Partner Self-Service Portal (PSS)** allows third-party administrators to upload healthcare deduction files. These portals are intended to empower stakeholders to manage their own relevant activities.

- **Website**: The OCERS website serves as the primary knowledge base for members, employers, and partners, providing essential information about retirement benefits, guides, forms, and key announcements. The website also hosts webinars, online seminars, and recorded sessions for members, helping improve access to important educational resources and support.

- **Sage Intacct Financial System**: This cloud-based financial management software is utilized for accounting, budgeting, and general ledger management. It provides a centralized financial system for financial reporting, and the Finance department oversees and manages the organization's finances.

- **Microsoft M365**: A cloud-based suite of productivity tools that include Word, Excel, and PowerPoint. Microsoft M365 is used across OCERS staff for document creation, data analysis, presentation development, and general office productivity.

- **Microsoft Teams**: This internal collaboration platform is used by OCERS staff for chat, video meetings, and communication. Teams allow efficient coordination across departments, support remote working initiatives, and provide integration with other M365 apps for seamless document sharing and project management.

- **Zoom**: Zoom is used for hosting large video conferences, member outreach seminars, webinars, and virtual training sessions. It allows OCERS to engage effectively with members and employers remotely, providing both live and recorded content to keep stakeholders informed.

- **Dialpad**: The cloud-based Dialpad VoIP Phone System enables a call center that plays a pivotal role in managing member inquiries and interactions, serving as a primary point of contact for addressing questions related to benefits, account information, and retirement processes. It allows agents to respond to members' needs and escalate cases as required.

- **UiPath**: UiPath is a Robotic Process Automation (RPA) tool used to automate manual workflows in legacy V3 pension system, reducing repetitive tasks like data gathering, entry, and validation. Internally developed bots handle retirement audits, affidavit checks, and application assignments—minimizing errors, speeding up processing, and enabling staff to focus on higher-value work. This automation supports OCERS broader digital transformation and process optimization goals.

004 - Offline Systems

The following systems supplement the Key Systems, see 003 – Key Systems above, to support business processes, and, in many cases, they are disconnected from Key Systems, but serve as interim solutions for manual tasks that are not automated within the PAS system.

- **SharePoint Payroll Log**: The SharePoint Payroll Log is used for tracking payroll-related information that may need to be reviewed, referenced, or managed outside of the V3 system. It serves as an offline repository to keep payroll data organized and accessible for payroll and finance teams, supporting collaboration and version control.

- **SSRS Reporting**: Additional reports are developed by OCERS in SSRS to supplement business needs outside of V3. In the manual error correction and reconciliation processes, SSRS reporting is leveraged.

- **Microsoft Power BI Reporting**: Using Power BI dynamic dashboards and data visualization capabilities, the OCERS IT team developed insights into member services, financial data, and manual error correction and reconciliation processes.

- **Paper Mail Scanning**: Physical documents received by OCERS, such as correspondence, forms, and applications, are scanned and digitized, which allows them to be stored electronically within the V3 system. The scanned documents are stored in File Store, but the index data is within V3 database.

- **Disability Case Management**: OCERS uses multiple tools—Litify, Foundation AI, and Lexitas—to handle disability claims efficiently. Litify is used for case management, Foundation AI assists in indexing and categorization of documents, and Lexitas is a document retrieval partner that facilitates the secure acquisition of medical and legal records on behalf of OCERS. These systems streamline disability case workflows, providing better tracking, document handling, and case analysis. All this work is performed outside of and currently disconnected from V3.

005 - Key External Inputs

- **Transmittal Files**: Employers send transmittal files to OCERS to process contributions through the Employer Self-Service (ESS) portal. The ESS portal allows employers to upload and process

these files, view associated reports, and manage transactions. With a few employers, OCERS uses FTP to pull transmittal files from the employer.

- **Healthcare and Deduction Imports**: These files are provided by employers or designated third-party administrators and are uploaded via the Partner Self-Service (PSS) portal, which is used primarily for managing healthcare and other payroll deductions.

- **Reciprocity**: OCERS interacts with the state and 37 other retirement systems to process reciprocity data, ensuring that contributions and benefits are correctly coordinated for members transferring between systems.

- **Death Verification**: Thomson Reuters CLEAR is used to verify the deaths of members to ensure that benefit payments are properly updated or ceased.

- **Federal and State Tax Agencies**: Interfaces exist with the IRS Filing Information Returns Electronically (FIRE) system for annual tax reporting and the U.S. Department of Treasury's Electronic Federal Tax Payment System (EFTPS) for federal tax payments. At the state level, interfaces include the California Franchise Tax Board (FTB), California Employment Development Department (EDD) for state tax payments and quarterly state tax filings (DE9 and DE9C).

- **Bank Account Verification**: LSEG Bank Account Verification Solutions (GIACT) is utilized to verify direct deposit information for retirement benefit payments, reducing the risk of incorrect or fraudulent banking details being used.

- **Actuarial Extracts**: Data files are provided to OCERS actuaries for actuarial analysis. Extracts are generated from the V3 system and are validated by the IT programming team to ensure data accuracy. There is inherent mistrust in the system, because of potential errors.

- **1099R Printing**: OCERS has partnered with an external printing service to generate 1099R tax forms, which members can access and download through the Member Self-Service (MSS) portal.

- **Member Outreach**: Member outreach materials such as postcards and letters are generated using external printing services. OCERS leverages V3-generated mailing lists and templates for effective communication with members.

- **Banks**: Data files are provided to OCERS Bank (Wells Fargo) for direct deposit, ACH payments and check processing.

006 - Overall Security Posture

OCERS has strong operational security measures in place, including endpoint defenses, strong patch and vulnerability management, and Identity Access Management (IAM) controls. OCERS demonstrates a robust implementation of Center for Internet Security (CIS) Controls, from endpoint security to network monitoring and data protection. The focus on automation, regular scanning, and structured IAM processes aligns well with many foundational and advanced CIS Controls.

Despite these strengths, the current PAS system is unable to integrate with the IAM infrastructure for the staff portal, nor does it utilize CIAM (Customer Identity and Access Management) for self-service, limiting secure and efficient access. Access provisioning is managed directly within the system, restricting centralized IAM enforcement and complicating adherence to modern security standards and CIS Controls.

To address these gaps, OCERS has outlined PAS security requirements that define essential security measures, including data encryption, identity and access management (IAM) with Multi-factor authentication (MFA), fraud prevention, data privacy, lifecycle management, audit logging, secure API practices, business continuity, compliance standards, incident response, and ongoing security assessments. These requirements will ensure strong data protection, compliance, fraud prevention, and system resilience within the target architecture of the new PAS.

2.3 OCERS Project Organization

This section provides general information about OCERS project organizational structure.

001 – OCERS Horizon Description

- OCERS shall provide the Quality Assurance of the OCERS Horizon Program.

- OCERS plans to contract with a firm to provide Program Management oversite of all the projects during the OCERS Horizon Program.

- OCERS plans to contract with a firm to provide data conditioning and migration services that will create a single target staging database which is an accurate, consistent, and timely view of their members, a view which spans across all applications, systems, business units, and member touch points.

- The prime vendor project manager will report to the OCERS Horizon Program Manager as part of the overall program.

002 – OCERS Horizon Organization Structure

Figure 6: OCERS Horizon Organizational Chart
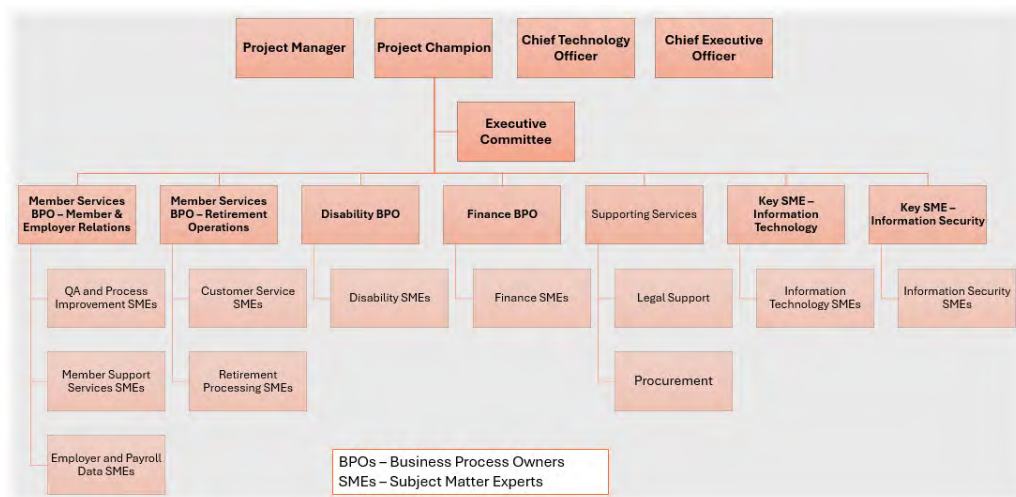
2.4 OCERS Project Constraints

001 – OCERS Staffing

OCERS is providing the following staffing model for the project. If the bidder feels the project would be more successful if OCERS were to adjust this model, then the bidder shall propose adjustments to the model. OCERS management evaluated its staff and current workload and determined that it can provide the following staff to support the implementation.

Table 2.1 Project Management and Executive Support

OCERS Staff	% of Time Available	Responsibility
David Kim	10%	Project Champion – Assistant CEO External Operations
William Tsao	30%	OCERS Project Manager – Director of Enterprise Project Management Office
Bhargav Dabhi	30%	OCERS Project Staff Assistant
OCERS Horizon Program Oversight Consultant	75%	OCERS Horizon Program Oversight
OCERS Horizon Executive Committee	10%	Executive governance

Table 2.2: Members Services Resources

OCERS Staff	% of Time Available	Responsibility
Jeff Lamberson	25%	OCERS BPO – Director of Retirement Operations Section– Member Services
Silviu Ardeleanu (TBD)	25%	OCERS BPO – Director of Members Services – Member/Employer Experience
Member Services Manager	100%	Business SMEs – Member Services
Retirement Operation Supervisor/Business Analysts (2 resources)	100%	Business SMEs – Member Services
Senior Retirement Program Specialist	100%	Business SMEs – Member Services
Retirement Program Specialists (5 resources)	100%	Business SMEs – Member Services
Accounting Technician (2 resources)	100%	Business SMEs – Member Services
Office Specialist	100%	Business SMEs – Member Services

Table 2.3: Disability Resources

OCERS Staff	% of Time Available	Responsibility
Nicole McIntosh	25%	OCERS BPO – Director of Disability
Disability Retirement Investigator	100%	Business SMEs – Disability

Table 2.4: Finance Resources

OCERS Staff	% of Time Available	Responsibility
Tracy Bowman	25%	OCERS BPO – Director of Finance
Finance Manager	50%	Business SMEs – Finance
Financial Analyst	75%	Business SMEs – Finance
Senior Accountant Auditor	75%	Business SMEs – Finance

Table 2.5: Information Technology and Security Resources

OCERS Staff	% of Time Available	Responsibility
Jenny Sadoski	25%	OCERS Key Technology SME – Director of Information Technology
Matt Eakin	10%	OCERS Key Technology SME – Director of Information Security
IT Operations Manager	25%	Technical SMEs – Infrastructure and Data Services Support
IT Operations Systems Technologist	50%	Technical SMEs – Infrastructure and Data Services Support
IT Programming Manager	50%	Technical SMEs – Data Services and Testing Support
Senior Application Developer	50%	Technical SMEs – Data Services
IT Quality Assurance (QA) Coordinator	75%	Technical SMEs – Testing - Development Support
IT Programming TBD	50%	Technical SMEs – Testing - Development Support
Senior Information Security Manager	20%	Technical SMEs - Information Security

<u>002 – OCERS Time Constraints</u>

OCERS has certain times during the month and year when business needs require significant staff time. During these periods, the respondent can expect limited support from OCERS staff.

OCERS regular business hours are from 08:00 to 17:00, Monday through Friday, except for federal and state holidays.

Weekly

OCERS staff work on a flexible schedule that varies from department to department. The respondent should assume OCERS staff have limited availability for meetings - four days a week. Meetings to be scheduled at least one week in advance with agendas, whenever possible.

Monthly

Considerations for scheduling:

- Monthly Board of Retirement meetings typically occur on the 3rd Monday of each month, except when there is a holiday. OCERS Project Champion and all OCERS directors will generally not be available on the day of the meeting.

- Monthly Payroll: Lump Sum payroll (Burial Benefits and Withdrawals) is processed the second week of each month. Retiree Payroll is processed three to four business days before the 1st day of the next month. Resources that have less than a 100% allocation may be needed if there are issues that require immediate attention.

Yearly

OCERS Horizon will be a top priority for staff during the life of the project. All efforts will be made to have key staff available for project activities. Consideration of peak times that draw from OCERS resources will be important. The following are peak periods or activities to consider for scheduling:

- Actuarial Extract Process occurs during the first quarter of the calendar year and may have an impact on the availability of both technical and business resources.

- External Audits occur March through May and may impact resources who have less than 100% allocation.

- OCERS Budget Preparation occurs from August to October and may have an impact on the availability of the OCERS Project Champion and all OCERS directors. All BPOs may be impacted. The Director of Finance will have the greatest impact,

- Strategic planning meetings occur during the month of September and may have an impact on the availability of the OCERS Project Champion and all OCERS directors.

- Annual or Year-end updates occur during the months of June and December and may have an impact on resources who have less than 100% allocation.

OCERS Holidays

OCERS recognizes the following holidays:

- January 1 - New Years Day

- January 20 - Martin Luther King Day

- February 12 - Lincoln's Birthday

- February 17 – President's Day

- May 26 – Memorial Day

- July 4 – Independence Day

- September 1 – Labor Day

- September 26 – Native American Day

- November 11 – Veterans Day

- Fourth Thursday in November – Thanksgiving Day

- Day after Thanksgiving Day

- December 25 – Christmas Day

It is common for OCERS staff to take additional time off during holiday times, especially at the end of December. The respondent should have a way to keep track of project team availability and leave to plan accordingly.

003 – OCERS Facilities

OCERS facilities have immediate space for four staff members of the implementation vendor team. Any other subject matter experts needed throughout the project can potentially be accommodated for given enough lead time. There is an adequate project meeting room/space and there will be enough network/Internet connections for project staff.

The vendor shall provide all laptops, desktops, and associated software necessary for their staff to perform their work.

Section 3: Scope of Services

The detailed scope of services for this engagement is outlined in the attached Attachment B - Scope of Services.

OCERS seeks modern technology driven solutions from respondents to realize the outlined vision (Attachment E - Appendix A). 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 without custom programming, while delivering a comprehensive line-of-business system for pension administration, will be highly valued.

3.1 - Introduction

The firm selected for this engagement will be expected to meet requirements that include, but are not limited to, the following:

1. The firm must have all necessary permits and licenses to perform the requested services and must be bonded where applicable.

2. Minimum insurance coverage must include the following items, and proof of such insurance must be provided to OCERS prior to the commencement of work, on an annual basis, and upon request:
   - Commercial General Liability: $2M per occurrence, $2M aggregate
   - Automobile Liability: $1M per occurrence, $2M aggregate
   - Workers Compensation: As required by the State of California
   - Employer's Liability: $1M per occurrence, $1M aggregate
   - Umbrella/Excess Liability: $8M per occurrence, $8M aggregate
   - Professional Liability: $2M per occurrence, $3M aggregate
   - Cyber Security Insurance: $2M per occurrence, $5M aggregate
   - Fidelity Insurance: $5M per occurrence

   OCERS must be listed as an additional insured on the above policies.

3. The firm shall provide all personnel, equipment, tools, materials, vehicles, supervision, and other items and services necessary to perform all services, tasks, and functions as requested in this RFP.

4. The initial term of the contract awarded pursuant to this RFP will not be less than the time required for OCERS final acceptance of the replacement Pension Administration System (PAS), and the contract may be renewed thereafter for one or more one-year periods.

5. All work under the contract awarded shall be performed, and all materials, tools, equipment, and services furnished or installed, in accordance with all applicable local, state, and federal laws, ordinances, rules, and regulations, including the regulations of the State of California, Division of Industrial Safety and the provisions of the California Labor Code.

6. Minimum Qualifications
   All respondents are required to sign and return the "Minimum Qualifications Certification," attached as Attachment C – Minimum Qualification Certification.

Section 4: General Conditions

All terms, conditions, requirements, and procedures included in this RFP must be met for a proposal to be qualified. A proposal that fails to meet any material term, condition, requirement, or procedure of this RFP may be disqualified. OCERS reserves the right to waive or permit the cure of non-material errors or omissions. OCERS reserves the right to modify, amend, or cancel the terms of this RFP at any time.

OCERS may modify this RFP before the date fixed for submission of a proposal by posting, mailing, emailing, or faxing an addendum to the respondents known to be interested in submitting a proposal. However, failure of a respondent to receive or acknowledge receipt of any addendum shall not relieve the respondent of the responsibility for complying with the terms thereof.

A respondent's proposal shall constitute an irrevocable offer for the 180 days following the deadline for submission of proposals. Reference to a certain number of days in this RFP shall mean calendar days unless otherwise specified.

All proposals submitted in response to this RFP will become the exclusive property of OCERS. Therefore, proposals will not be returned to respondents.

By submitting a proposal, the respondent acknowledges that it has read this RFP, understands it, and agrees to be bound by its terms, conditions, requirements, and procedures unless clearly and specifically noted in the proposal submitted.

Section 5: Point of Contact

A quiet period will be in effect from the date of issuance of this RFP until a contract is in place with the selected vendor(s). During the quiet period, respondents are not permitted to communicate with any OCERS staff member or Board Member regarding this RFP except through the Point of Contact named herein. Respondents violating this quiet period may be disqualified at OCERS discretion. In addition, respondents having current business with OCERS must limit their communications to the subject of such business.

Table 3.0: Point of Contact

The Point of Contact for all matters relating to this RFP is:	
Name:	Jim Doezie
Title:	Contracts, Risk & Performance Administrator
Physical Address:	OCERS 2223 E Wellington Ave., Suite 100 Santa Ana, CA 92701
Mailing Address:	OCERS P.O. Box 1229 Santa Ana, CA 92701
Telephone:	(714) 569-4884
Email:	jdoezie@ocers.org
OCERS Website:	www.OCERS.org
Status:	See PlanetBids or the OCERS website for status of the RFP and announcements. These items can also be found here: http://www.ocers.org/rfp/requestforproposal.htm
PlanetBids Link:	https://vendors.planetbids.com/portal/56826/bo/bo-detail/130105

Section 6: Response to Request for Proposal

6.1 RFP Schedule

The following timetable constitutes a tentative schedule for this RFP process. OCERS reserves the right to modify this schedule at any time.

Table 4.0: RFP Schedule

Deliverable	Date	Pacific Time
Release of RFP	5/19/2025	
Respondent's Questions Due	5/30/2025	5:00pm
RFP Answers Posted	6/16/2025	5:00pm
Proposal Submission Deadline	7/14/2025	5:00pm
OCERS Review of Proposal Submissions	3rd Quarter 2025	
Selection of Finalists	3rd Quarter 2025	
Finalist Proof of Concept and Oral Presentations	To be determined	
Finalist Best and Final Offer (BAFO)	To be determined	
Intent to Award Recommendation to OCERS Board of Retirement	4th Quarter 2025	
Notify Vendor of Intent to Award	4th Quarter 2025	
Finalize Contract Negotiations	4th Quarter 2025	

Section 7: Proposal Requirements

OCERS may disqualify a respondent's proposal if submission criteria are not met.

Respondents must adhere to the following instructions:

1. Proposals must be submitted through PlanetBids by the due date and time stated above in the RFP Schedule.
2. The respondent's proposal, all data, materials and documentation originated and prepared for OCERS in response to this RFP shall belong exclusively to OCERS and become available via public records request. No portions of the respondent proposal shall be marked as "Confidential", "Proprietary" or any similar designation.
3. The cost of developing and submitting the proposal is the responsibility of the respondent. This includes costs to determine the nature of this engagement, preparation of the proposal, submitting the proposal, negotiating for the contract, as well as any other costs associated with this RFP process.
4. The respondent shall submit all proposal documents by the due date at one time. Respondent Technical Proposal and Respondent Cost Proposal shall be provided as separate documents.
5. The respondent shall respond to all sections outlined below and in the requested format.
6. A legally authorized representative of the respondent shall sign the cover page, Attachment D.1. , of the proposal.
7. The text on all pages of the respondent's proposal shall use double spacing
8. Font size and type shall be no less than 12 Ariel or Calibri.
9. Proposal documents shall have margins of no less than 1" all around.
10. Every page shall contain the respondent's legal name in the header.
11. Every page footer shall contain "Page <page number> of <total pages>" and <submission date>
12. Use of the respondent company logo and tagline is permitted throughout the proposal.
13. Use of the OCERS logo is not permitted anywhere in the proposal.

OCERS may disqualify a respondent proposal if any of the above criteria are not met.

Failure to follow these proposal formatting instructions may result in the rejection of the respondent proposal.

The respondent must format the proposal in the following order and the proposals must include the following information. Detailed instructions for each section are provided in Attachment D.2 - Proposal Instructions and Required Content:

1. The "Proposal Title Page"
2. The "Table of Contents" – shall follow the proposal title page.
3. The "Minimum Qualifications Certification," Attachment C.
4. The "Proposal Cover Page and Check List," Attachment D.1. Section 01 – Executive Summary
    a. This section contains the respondent's executive summary of their proposal and shall not exceed five pages.
    b. The executive summary must include an explanation of all actual or potential conflicts of interest that the respondent may have in contracting with OCERS.
    c. An executive summary that provides the respondent's background, experience, and other qualifications to provide the services included in the Attachment B - Scope of Services.

5. Section 02 – Respondent Qualifications
    a. This section contains the responses related to the respondents qualification to provide the requested Scope of Services following the response instructions in the RFP Attachment D section "02 – Respondent Qualifications". The table of contents in respondent's proposal shall mirror the RFP sub-sections "020 - Company Information" through sub-section "110 – Respondent's Implementation Schedule".
    b. Pages limits for Section 02 subsections are described in the instructions.
6. Section 03 – Project Commitments and Requirements
    a. This section contains the responses to the RFP "Attachment B – Scope of Services" following the response instructions in Attachment D section "03 - Project Commitments and Requirements". The table of contents in respondent's proposal shall mirror the RPF sub-sections "020 - OCERS Key Business Processes" through sub-section "100 – Exceptions".
    b. Response to Subsection 030 – Functional Commitments shall be submitted in the provided spreadsheet.
    c. Page limits for Section 03 subsections are described in the instructions if they apply.
7. Section 04 – Cost Proposal (to be included as a separate document)
    a. This section contains the responses to the RFP Attachment D section "04 – Cost Proposal". The table of contents in respondent's proposal shall mirror the RFP sub-sections "020 – Cost Details" through sub-section "050 – Cost of Ownership".
    b. Detailed Instructions are available in Attachment D.2 – Section 04 Cost Proposal
8. Section 05 – Attachments
    a. Title the fifth section of the proposal, "Section 05 – Attachments". This section contains any attachments the respondent refers to in the proposal.

Section 8: Evaluation Criteria

This section provides the evaluation criteria that will be used to evaluate each respondent's proposal. All written proposals that meet minimum qualifications (Attachment C) and proposal requirements (Section 7) will be evaluated and scored based on the following criteria, listed in order of importance:

1. The extent to which the proposal meets the OCERS commitments and requirements set forth in this RFP.
2. Compliance with technical standards contained in this RFP and the extent to which the technical proposal aligns with OCERS architectural principles.
3. Quality of the team proposed to provide services to OCERS, including staffing depth, experience, education, and skills.
4. Pricing and value, including whether the cost proposal is commensurate with the value of product and service being provided.
5. The alignment of the future direction of the prime vendor and the proposed solution with OCERS Vision for the Future.
6. Information provided by clients and references.
7. The Methodology/Delivery approach's compliance with OCERS constraints, best practices, and other important OCERS requirements.
8. Other factors OCERS determine to be relevant.

OCERS may require one or more interviews or personal presentations by finalists to be conducted with staff or members of the Board of Retirement. These presentations will consist of, at minimum, a Proof of Concept and Oral Presentation based on specific instructions provided by OCERS. Presenters and participants in the Proof of Concept and Oral Presentation shall consist of members of the proposed team.

Each finalist will be further evaluated and scored based on the following criteria:

1. Best and Final Offer (BAFO)
2. Proof of Concept
3. Oral Presentation
4. In Person Client Visits

Best and Final Offer

Once the finalists complete their delivery of the Proof of Concept and Oral Presentations, a Best and Final Offer (BAFO) will be requested from all or a limited number of the finalists. OCERS will provide information to the respondent(s) asked to prepare a BAFO and will set a deadline for the respondent to update their proposal based on the information and other instructions provided along with the BAFO request. The BAFO will then be used for final scoring of the proposals and one firm will be chosen for the contract award.

If the proposal's information is deemed to be insufficient for evaluation, OCERS may request additional information or reject the proposal outright at OCERS sole discretion. In addition, false, incomplete, or unresponsive statements in connection with a proposal may result in rejection of the proposal.

Awarding of Work

Upon final evaluation, OCERS shall issue an intent to award to the respondent whose proposal is deemed most advantageous to OCERS. Following this, OCERS will enter contract negotiations with the selected respondent. OCERS has the right to reject any bid if it is in the best interests of OCERS. OCERS may cancel this Request for Proposals or reject proposals at any time prior to an award and is not required to furnish proposal scoring or reasons for not selecting a particular proposal.

If OCERS determines that only one respondent is fully qualified or clearly more highly qualified than others, the work may be awarded to that respondent, and a contract may be negotiated. The contract shall serve as the award document and incorporate by reference all the requirements, terms and conditions of the solicitation, and the respondents' proposal as negotiated.

Section 9: Non-Discrimination Requirement

By submitting a proposal, the respondent represents that it and its subsidiaries do not and will not discriminate against any employee or applicant for employment based on 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.

Section 10: Notice Regarding the California Public Records Act

The information submitted in response to this RFP will be subject to public disclosure pursuant to the California Public Records Act (California Government Code Section 6250, et. seq., the "Act"). The Act provides that all records relating to a public agency's business are open to public inspection and copying unless exempted explicitly under one of several exemptions set forth in the Act. If a respondent believes any portion of its proposal is exempt from public disclosure under the Act, the respondent must provide a full explanation and mark such portion "TRADE SECRETS," "CONFIDENTIAL," or "PROPRIETARY," and make it readily separable from the balance of the response. Proposals marked "TRADE SECRETS," "CONFIDENTIAL," or "PROPRIETARY" in their entirety will not be honored, and OCERS will not deny public disclosure of all or any portion of proposals so marked.

By submitting a proposal with material marked "TRADE SECRETS," "CONFIDENTIAL," or "PROPRIETARY," a respondent represents it has a good faith belief that the material is exempt from disclosure under the Act; however, such designations will not necessarily be conclusive, and a respondent may be required to justify in writing why OCERS should not disclose such material under the Act. Fee and pricing proposals are not considered "TRADE SECRET," "CONFIDENTIAL," or "PROPRIETARY."

If OCERS receives a request pursuant to the Act for materials that a respondent has marked "TRADE SECRET," "CONFIDENTIAL," or "PROPRIETARY," and if OCERS agrees that the material requested is not subject to disclosure under the Act, OCERS will either notify the respondent so that it can seek a protective order at its own cost and expense, or OCERS will deny disclosure of those materials. OCERS will not be held liable for inadvertent disclosure of such materials, data, and information or for disclosure of such materials if deemed appropriate in OCERS sole discretion. OCERS retains the right to disclose all information provided by a respondent.

If OCERS denies public disclosure of any materials designated as "TRADE SECRETS," "CONFIDENTIAL," or "PROPRIETARY," the respondent agrees to reimburse OCERS for, and to indemnify, defend, and hold harmless OCERS, its Boards, officers, fiduciaries, employees, and agents from and against:

1. Any and all claims, damages, losses, liabilities, suits, judgments, fines, penalties, costs, and expenses, including, without limitation, attorneys' fees, expenses, and court costs of any nature whatsoever (collectively, "Claims") arising from or relating to OCERS non-disclosure of any such designated portions of a proposal; and

2. Any and all Claims arising from or relating to OCERS public disclosure of any such designated portions of a proposal if OCERS determines disclosure is required by law, or if disclosure is ordered by a court of competent jurisdiction.

Section 11: Contract Negotiations

OCERS will propose a contract to the successful respondent, which will contain such terms as OCERS, in its sole discretion, may require. In addition, the selected firm will agree that this RFP and the firm's proposal will be incorporated into any resulting contract.

This RFP is not an offer to contract. Acceptance of a proposal neither commits OCERS to award a contract to any respondent nor does it limit OCERS right to negotiate the terms of a contract in OCERS best interest, including the addition of terms not mentioned in this RFP. The final contract must, among other terms and conditions required by OCERS, allow OCERS to terminate the contract a) for OCERS convenience, b) if funds are not appropriated for the services, or c) for default.

The general form of the contract OCERS intends to use is included as Attachment F - OCERS Services Agreement Template. OCERS reserves the right to make changes to the contract prior to execution, including material changes. The final Scope of Services to be included in the contract will be determined at the conclusion of the RFP process.

By submitting a proposal without comment on the OCERS Services Agreement, respondent will be deemed to have agreed to each term in the OCERS Services Agreement, and to not seek any modifications to it. If respondent objects to any term in the OCERS Services Agreement or wishes to modify or add terms to the OCERS Services Agreement, the proposal must identify each objection and propose language for each modification and additional term sought. A rationale should be included for each objection, modification, or addition.

Section 12: Reservations by OCERS

In addition to the other provisions of this RFP, OCERS reserves the right to:

1. Cancel or modify this RFP, in whole or in part, at any time.

2. Make such investigation as it deems necessary to determine the respondent's ability to furnish the required services, and the respondent agrees to furnish all such information for this purpose as OCERS may request.

3. Reject the proposal of any respondent who is not currently in a position to perform the services, or who has previously failed to perform similar services properly, or in a timely manner, or for any other reason in OCERS sole discretion.

4. Waive irregularities, to negotiate in any manner necessary to best serve the public interest, and to make a whole award, multiple awards, a partial award, or no award.

5. Award a contract, if at all, to the firm which will provide the best match to the requirements of the RFP and the service needs of OCERS in OCERS sole discretion, which may not be the proposal offering the lowest fees.

6. Request additional documentation or information from respondents, which may vary by respondent. OCERS may ask questions of any respondent to seek clarification of a proposal or to ensure the respondent understands the scope of the work or other terms of the RFP.

7. Reject any or all proposals submitted in response to this RFP.

8. Choose to not enter into an agreement with any of the respondents to this RFP or negotiate for the services described in this RFP with a party that did not submit a proposal.

9. Determine the extent, without limitation, to which the services of a successful respondent are or are not actually utilized.

10. Defer selection of a respondent to a time of OCERS choosing.

11. Consider information about a respondent other than, and in addition to, that submitted by the respondent.

Attachment A - Definitions

Table 5.0

Term	Definition
Acceptance	Written approval by authorized OCERS staff that Acceptance Criteria have been met.
Acceptance Criteria	Specific requirements for accepting Artifacts and Deliverables.
ACH	Automated Clearing House
Age of Entry	Age used to determine contribution rate. Currently, nearest age within 180 days (six months) of when a person becomes an OCERS member.
Agency	A governmental unit, such as OCERS.
AI	Artificial Intelligence
API	Application Programming Interface
Application Programming Interface	A set of protocols and tools for building software applications, allowing different systems to communicate with each other.
Artificial Intelligence	A computer system capable of performing tasks that historically required human intelligence, such as recognizing speech, making decisions, and identifying patterns. AI is an umbrella term that encompasses a wide variety of technologies, including machine learning, deep learning, and natural language processing
Authorized Representative	A person representing a party who is authorized to make commitments and decisions on behalf of the party.
Automated Clearing House	A computer-based electronic network for processing financial transactions between organizations.
Beneficiary	An individual or entity (i.e., trust or estate) designated, or entitled by law, to receive benefits after the death of a member or other qualifying circumstances, based on OCERS rules.
Benefit Calculation	A formula that is used to determine the gross benefit due to an individual. OCERS monthly benefit calculation considers a member's plan type, age at retirement, years of service, and final average salary.
BPA	Business Process Automation
BPO	Business Process Owner

Term	Definition
Business Process Automation	The use of technology to automate complex business processes and functions, improving efficiency and reducing manual intervention.
Business Process Owner	Staff who are responsible for modeling and implementing business processes, documenting Stakeholder Needs, improving methods in operations and programs, and approving Artifacts on behalf of the Agency.
California Employment Development Department	A state government department that administers various programs related to unemployment, disability, payroll, and workforce services.
California Franchise Tax Board	Part of the California Government Operations Agency that collects state personal income and corporate income tax of California
California Public Employees' Pension Reform Act	Effective January 1, 2013, this law applies to all public employee retirement systems in the State of California. It created various changes to how retirement systems are to administer benefits, including benefit formulas, contributions, pensionable compensation, and compensation limits.
CEO Determinations	A member who disagrees with OCERS staff's initial determination regarding the member's benefit or other right related to membership may request an administrative review. OCERS responds to the request with a Chief Executive Officer (CEO) Determination, which is made by the CEO or their designee.
CERL	County Employees Retirement Law
CIAM	Customer Identity and Access Management
COLA	Cost of Living Adjustment
Commercial Off-the-Shelf	A software and/or hardware product that is commercially ready-made and available for sale, lease, or license to the general public.
Commitment	A statement of scope in this RFP that must be satisfied by the respondents proposed solution. Commitments are not detailed requirements. It will be the vendor's responsibility to document Detailed Requirements in support of the commitments in this RFP.
Contract	Reference Attachment F – Service Agreement. Where used shall have the same meaning as the term "Agreement".
Contribution Basis Date	The employment start date or reciprocal entry date used to calculate the member's Age of Entry.

Term	Definition
Contributions	Amounts paid into a retirement plan on behalf of a member. OCERS member and employer contributions are mandatory and based on three components: the employer, the benefit plan, and Age of Entry of the member using an actuarial-determined rate structure. Currently contributions are deducted from the member's paycheck on a pre-tax basis.
Core Business Hours	8:00am to 5:00pm Pacific Time, Monday through Friday
Cost of Living Adjustment	An annual addition to the OCERS benefit that helps offset the rising cost of living due to inflation. OCERS COLAs are actuarially determined and approved by the OCERS Board of Retirement.
COTS	Commercial Off-the-Shelf
County Employees Retirement Law	A California law that established a framework for the creation and administration of public employee retirement systems at the county level. The law governs all aspects of county retirement systems and their membership, including OCERS.
Critical Defects	Any defect that, individually or in the aggregate:
	(a) results in the system or any material component of the system being completely unavailable, unusable, or inoperable for production use;
	(b) causes a complete failure of one or more critical business processes (such as member retirements, disability processing, benefit payments, contribution collections, or other core pension administration functions);
	(c) results in the loss, corruption, or unauthorized disclosure of sensitive member, employer, or plan data, including personally identifiable information (PII) or protected health information (PHI);
	(d) causes the solution to be materially non-compliant with applicable laws, regulations, or mandatory reporting requirements;
	(e) has a significant adverse impact on the financial operations, reporting obligations, or member service commitments of the pension system.
CRM	Customer Relationship Management
Customer Identity and Access Management	A system for managing customer identities, ensuring secure access to services and protecting personal data.

Term	Definition
Customer Relationship Management	Technology for managing a company's relationships and interactions with current and potential customers.
Data Bridging	The ongoing process of sharing data required by both the legacy system and new line of business solution for integrated plan administration.
Data Cleansing	The act of correcting system data.
Data Conditioning	The process of characterizing data assets so they can be managed properly.
Data Conversion	The act of changing the format of legacy system data required by new line of business solution for integrated plan administration into the format required by new line of business solution. Data Conversion is one of the coordinated activities within the overall Data Migration effort.
Data Lake	A centralized repository that stores large volumes of raw, structured, semi-structured, and unstructured data in its native format for flexible analysis and processing.
Data Migration	Data Cleansing, Data Conversion and Data Bridging work.
Data Model	The physical representation of persistent data in the System. It also includes any behavior defined in the database, such as stored procedures, triggers, constraints, and so forth.
Data Reconciliation	The process of comparing data from different systems or sources to identify and fix discrepancies and ensure information is accurate, consistent and up-to-date.
Data Warehouse	A system that stores structured, organized data from different sources so it can be easily searched, analyzed, and used for reporting and decision-making.
DB	Defined benefit
DC	Defined contribution
DED	Deliverable Expectation Document
Defect	Work that does not conform to requirements specifications.
Defined Benefit (plan)	An employer-sponsored retirement plan that provides a fixed, pre-established benefit for employees at retirement.

Term	Definition
Defined Contribution (plan)	An employer-sponsored retirement plan where both employers and employees make contributions to individual accounts that are typically invested allowing funds to grow until withdrawal at retirement.
Deliverable	A group of one or more Artifacts that OCERS will pay to receive (according to the contractual payment schedule) when those Artifacts have all been approved by OCERS.
Deliverable Expectation Document	Sets expectations for delivery of a specific deliverable. Describes acceptance criteria for each deliverable and service subject described in a Statement of Work.
Detailed Requirements	Complete documentation of all requirements that will be supported by the respondent's solution, written at the lowest level of decomposition. While commitments define "what" capabilities and functions are required, detail requirements state the details of "how" the commitments will be satisfied.
DevOps	A set of practices that combines software development (Dev) and IT operations (Ops) to shorten the development lifecycle and deliver high-quality software continuously.
Disability Benefits	An OCERS benefit that is available to members who have an illness or injury that permanently prevents them from performing usual and customary duties of their job. There are two types of disability retirement: Service Connected and Non-Service Connected. • Service Connected: employment caused or contributed to illness or injury. Years of service are not a factor in determining eligibility. • Non-Service Connected: illness or injury is not related to employment. A member must have at least five years of service, including reciprocal system service, to be eligible.
DOB	Date of Birth
Documentation	(a) An operational description of all work that conforms to the standards, definitions, and recommended practices known to be generally accepted practice in the industry, unless otherwise approved in writing by OCERS. (b) All documents, including documents that are Artifacts or Deliverables; and (c) All documents related to the new line of business solution software, including its technical, functional and performance

Term	Definition
	specifications, and new line of business solution online help functionality.
DOD	Date of Death
Domestic Relations Order	A legal order issued by the court specifying how to divide the community interest related to retirement benefits in a divorce.
DRO	Domestic Relations Order
e.g.	Stands for the Latin words *exempli gratia*, which translates to "for the sake of example". For the purposes of this RFP this means to demonstrate examples but should not be construed as an exhaustive list.
Early Retirement Incentive	A program or package offered by employers to encourage employees to retire before reaching the standard retirement age. It typically includes financial incentives such as lump-sum payments or enhanced pension benefits.
ECMS	Electronic Content Management System
EDD	California Employment Development Department
Employee	An individual who works for an OCERS employer. An employer's employee may be a member or a non-member who has not yet achieved OCERS eligibility requirements.
Employer	A public agency that participates in the Orange County Employees Retirement System (OCERS) by employing individuals who are eligible for membership in the retirement system. An Employer is responsible for enrolling eligible employees into the plan, ensuring accurate reporting of compensation and service credit, and making timely and required contributions to the system on behalf of those employees.
Enhancement	Additional system functionality not previously required or covered by a commitment.
ETL	Extract, Transform, Load
Extract, Transform, Load	The process of collecting data from different sources (Extract), converting it into a usable format (Transform), and then moving it into a database or data warehouse (Load) for analysis and reporting.
FAS	Final Average Salary

Term	Definition
FAQ	Frequently Asked Questions
Final Average Salary	One of the four factors used to calculate a member's monthly retirement allowance; it includes a member's base salary and may also include other pay items that the OCERS Board of Retirement has defined as Compensation Earnable or Pensionable Compensation.
Frequently Asked Questions	A list of common questions and their answers related to a specific product, service or topic
FTB	California Franchise Tax Board
IAM	Identity and Access Management
Identity and Access Management	A framework for managing digital identities and access to resources.
iPaaS	Integration Platform as a Service
Integration Platform as a Service	A suite of cloud services enabling integration flows to connect applications and data across different environments.
Internal Revenue Code	The federal tax law of the United States
Internal Revenue Service	Division of the United States federal government responsible for collecting federal taxes and administering the Internal Revenue Code.
IRC	Internal Revenue Code
IRS	Internal Revenue Service
IVR	Interactive Voice Response
Key Performance Indicator	A measurable value that demonstrates how effectively an organization is achieving key business objectives.
KPI	Key Performance Indicator
Legacy Members	Generally referring to members who participate in an OCERS plan (safety or general) that was offered to new members only prior to January 1, 2013, which is the effective date of the California Public Employees' Pension Reform Act (PEPRA). Members who joined OCERS on or after January 1, 2013, and established reciprocity with a system in which they participated in a Legacy plan may also be considered a legacy member and eligible to participate in an OCERS Legacy plan.

Term	Definition
	Legacy plans typically provide a more favorable retirement plan formula than PEPRA-compliant plans.
Line of Business	Referring to the proposed solution for covering OCERS key business processes.
LOB	Line of Business
Machine Learning	A type of artificial intelligence that allows software applications to become more accurate at predicting outcomes without being explicitly programmed.
Member	An individual who is part of OCERS and are eligible for public retirement system benefits. OCERS current statuses to define members are: • Active: A county or district employee who is currently employed and contributing to the pension system, thereby accruing service credit toward a future retirement benefit • Active Disabled: A current employee who has become temporarily or permanently disabled and is still employed by a OCERS covered employer, but is receiving active disabled supplemental benefit due to their inability to perform their prior job duties, while remaining an active participant in the pension system in an accommodated position. • Active on Leave: A member who is currently on an approved leave of absence from their OCERS-covered employment but maintains their status as an active member of the retirement. • Deceased: A former or current member of the OCERS system who has passed away, and whose retirement benefits or survivor benefits may be payable to designated beneficiaries or survivors, depending on the individual's eligibility and plan provisions. • Deferred: A former employee who terminated employment with an OCERS-covered employer before becoming eligible to retire, but left their contributions in the OCERS system and retains the right to a future retirement benefit. • Deferred Reciprocal: A former OCERS member who has left OCERS covered employment and left their retirement contributions on deposit, and accepted employment with another public agency that participates in a reciprocal retirement system, thereby establishing reciprocity between the two systems.

Term	Definition
	• Disabled: A former employee who has become physically or mentally disabled and is unable to perform their job duties, and who has been granted a Service Connected Disability or a Non Service Connected Disability and is now receiving disability benefits under the OCERS retirement system.
	• Inactive: A former OCERS employer that is no longer participating in the OCERS plan.
	• Retired: A former employee who has met the eligibility requirements for retirement (such as a specified age and minimum years of service) and has officially retired, starting to receive a monthly pension benefit from the system based on their accumulated service credit, final compensation, and other relevant factors
	• Rehired Retiree: A person who has retired and was receiving a pension (now Suspended upon rehire) from OCERS covered employer, but has since been reemployed in a full time or part time (Non Extra help) capacity by an OCERS covered employer.
	• Terminated: A person who has separated from employment with an OCERS covered employer and is no longer an active member, and has withdrawn their contributions and interest from OCERS plan. Forfeiting their right to a future OCERS benefit.
	• Terminated Expired: A former member who terminated employment with a OCERS covered employer, did not retire, and exceeded statutory time limits to claim benefits, resulting in the loss of eligibility for any future retirement benefits under the system
Member Self Service Portal	A portal that allows members to perform essential actions like submitting beneficiary changes, filing retirement applications, and viewing benefit details.
MFA	Multi-Factor Authentication
ML	Machine Learning
MSS	Member Self Service Portal
Multi-Factor Authentication	An electronic authentication method in which a user is granted access to a website or application only after successfully presenting two or more pieces of evidence (or factors) to an authentication mechanism.
NCOA	National Change of Address

Term	Definition
PaaS	Platform as a Service
PAS	Pension Administration System
PDF	Portable Document Format
PEPRA	California Public Employees' Pension Reform Act
Pension Administration System	The core system used to manage member services, including new enrollments, contribution processing, member account maintenance, retirement processing, and payroll management.
PHI	Protected Health Information
PII	Personally Identifiable Information
Plan Administrator	Responsible for managing employee benefit plans in accordance with plan documents, which detail the terms and conditions of the plan.
Plan Sponsor	An OCERS term that was formerly used to refer to OCERS participating employers
Platform as a Service	A cloud computing service that provides a platform allowing customers to develop, run, and manage applications without the complexity of building and maintaining the infrastructure.
Portable Document Format	A file format that provides an electronic image of text or text and graphics that looks like a printed document and can be viewed, printed, and electronically transmitted.
Post Implementation Support	Activities required to maintain and enhance the Pension Administration System to meet the ongoing needs of the client. It begins once the system is in operation and the warranty period has expired.
POA	Power of Attorney
Power of Attorney	A legal document whereby a principal authorizes an agent, or attorney-in-fact, to act on behalf of the principal in matters, as specified in the document.
Prime Vendor	The main contractor responsible for submitting a proposal in response to this solicitation and delivering a project or service, managing all work, and coordinating any subcontractors to meet the full requirements of the contract. Also referred to as Respondent.

Term	Definition
Reciprocal Entry Date	The date of entry into a previous or subsequent reciprocal public employees retirement system by a member.
Reciprocity	The relationship between certain California public retirement systems that permits public employees to move between those systems without losing the rights and benefits they have already earned. It encourages career public service and protects retirement benefits earned by employees under two or more systems. Employees who are eligible and elect reciprocity may transfer between retirement systems while preserving and enhancing their total retirement benefit.
Respondent	Any individual, partnership, corporation, or other entity submitting a proposal/offer in response to this Solicitation. Also referred to as Prime Vendor.
Robotic Process Automation	The use of software robots to automate highly repetitive tasks that previously required human intervention.
RPA	Robotic Process Automation
SaaS	Software as a Service
Service Credit	Credit an OCERS member earns from a period of time that deductions are taken from their compensation while in employed by an OCERS employer. It is earned based on uninterrupted employment. Members can purchase service credit or redeposit withdrawn OCERS contributions.
Service Credit Purchase	Purchase of additional time, or redeposit withdrawn contributions, to increase service credit in the context of retirement benefits.
SLA	Service Level Agreement
SME	Subject Matter Expert
SMS	Short Message Service
Social Security Administration	An independent agency of the U.S. federal government that administers Social Security, a social insurance program consisting of retirement, disability and survivor benefits.
Social Security Number	A nine-digit number issued to U.S. citizens, permanent residents, and temporary (working) residents used for national identification number for taxation and other purposes.

Term	Definition
Software as a Service	A software distribution model in which applications are hosted by a service provider and made available to customers over the internet.
Software Release	The distribution of a new version or update of a software application, which includes new features, bug fixes, or improvements.
Software Update	A modification to an existing software version, typically including bug fixes and/or security patches, but no new features or enhancements.
Solution Maintenance	Post-implementation activities required to keep the solution sustained and current.
SQL Server Reporting Services	A server-based report generating software system from Microsoft used for preparing and delivering a variety of interactive and printed reports.
SSA	Social Security Administration
SSN	Social Security Number
SSO	Single Sign On
SSRS	SQL Server Reporting Services
Subject Matter Expert	A person with expert knowledge related to a certain job function.
Survivor Benefits	Benefits payable to an eligible surviving spouse, domestic partner, child or guardian, or designated beneficiary upon an OCERS member's death.
TIFF	Tagged Image File Format
UAT	User Acceptance Testing
UETA	Uniform Electronic Transactions Act
UI	User Interface
Uniform Electronic Transactions Act	A U.S. law that establishes the legal validity of electronic signatures, records, and contracts in commercial and government transactions
User Acceptance Testing	The final phase of software testing where the software is tested in the real world by the intended audience to ensure it meets their needs and requirements.

Term	Definition
User Interface	The point of human-computer interaction and communication in a device.
USPS	United States Postal Service
View	Used to refer to a set of parameter driven and online representations that cover a specific OCERS need and can be filtered and sorted as needed. Any "View" should be able to be extracted in a usable format for reporting and further analysis.
Virtual Private Network	Technology that creates a safe and encrypted connection over a less secure network, such as the internet.
VPN	Virtual Private Network
W3C	World Wide Web Consortium
World Wide Web Consortium	The main international standards organization for the World Wide Web
WSS	Web Self Service

Attachment B – 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), 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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
		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,

Functional Area	RFP Number	RFP OCERS Commitment
		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).

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
		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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.).

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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)

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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)

Functional Area	RFP Number	RFP OCERS Commitment
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)

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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)

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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)
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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)

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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)

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

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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).

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
		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.
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.
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.

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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

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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

Functional Area	RFP Number	RFP OCERS Commitment
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

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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.

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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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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)).

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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](#).

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

5. **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.

6. **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.

7. **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.

8. **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.

2. 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.

3. 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.

4. 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.

5. 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).

6. 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.

7. 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.

8. 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.

9. 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.

Attachment C – Minimum Qualifications Certification

All firms submitting a proposal in response to this RFP are required to sign and return this attachment, along with written evidence of how the respondent meets each qualification.

The undersigned hereby certifies that it fulfills the minimum qualifications outlined below, as well as the requirements contained in the RFP.

A. MINIMUM QUALIFICATIONS

A contract resulting from this RFP will be between OCERS and one selected respondent who will be responsible and accountable for providing the Solution and all the Services requested under this RFP, the prime vendor. Therefore, responses that propose a joint venture of two or more respondents, a joint response from more than one respondent, or other similar group arrangement will be disqualified.

A respondent may team with multiple firms to provide the requested Services under a prime vendor-subcontractor arrangement.

The respondent, as the prime vendor, must meet all the Minimum Qualifications listed below. The subcontractor's experience should not be factored into meeting any of the Minimum Qualifications below. Failure to satisfy the Minimum Qualifications will result in the disqualification of respondent Proposal. OCERS will not accept Deviations to the Minimum Qualifications.

A.1

Respondent shall confirm that, at the time of Proposal submission, respondent, as the prime vendor, has the team and resources to successfully complete the implementation of a large-scale public/governmental pension (or equivalent) technology solution.

☐ By checking this box, the respondent confirms they meet this criteria.

A.2.

Respondent shall confirm that, at time of Proposal submission, respondent, as the prime vendor, the proposed Solution will support a public/governmental entity serving over 50,000 constituents, multiple employers and will meet OCERS performance and scalability needs.

☐ By checking this box, the respondent confirms they meet this criteria.

A.3

Respondent, as prime vendor, shall confirm that, at time of Proposal submission, respondent has been in business for a minimum of one (1) year with a focus on public/governmental pension or a similar, equivalent benefits technology space.

☐ By checking this box, the respondent confirms they meet this criteria. Provide articles of formation or similar documents as proof of this criteria.

A.4

Respondent shall confirm that the location of Respondent's primary and redundant data center(s) that will store the OCERS Solution and data will be in the United States and that all client data will always be stored within the United States.

☐ By checking this box, the respondent confirms they meet this criteria.

The undersigned hereby certifies that they are an individual authorized to bind the Firm contractually, and said signature authorizes verification of this information.

_____   _____

Authorized Signature   Date

_____

Name and Title (please print)

_____

Name of Firm

Attachment D – Proposal Instructions and Checklist

D.1 Proposal Cover Page and Check List (To Be Submitted in Firm's Letterhead)

Respondent Name:

Respondent Address:

By submitting this response, the undersigned hereby affirms and represents that they have reviewed the proposal requirements and have submitted a complete and accurate response to the best of their knowledge. By signing below, I hereby affirm that the respondent has reviewed the entire RFP and intends to comply with all requirements.

Respondent specifically acknowledges the following:

1. Respondent possesses the required technical expertise and has sufficient capacity to provide the services outlined in the RFP.

2. Respondent has no unresolved questions regarding the RFP and believes that there are no ambiguities in the scope of services.

3. The fee schedule submitted in response to the RFP is for the entire scope of services and no extra charges or expenses will be paid by OCERS.

4. Respondent has completely disclosed to OCERS all facts bearing upon any possible interests, direct or indirect, that Respondent believes any member of OCERS, or other officer, agent, or employee of OCERS presently has, or will have, in this contract, or in the performance thereof, or in any portion of the profits thereunder.

5. Materials contained in the proposal and all correspondence and written questions submitted during the RFP process are subject to disclosure pursuant to the California Public Records Act.

6. Respondent is not currently under investigation by any state of federal regulatory agency for any reason.

7. Except as specifically noted in the proposal, the respondent agrees to all the terms and conditions included in OCERS Services Agreement.

8. The signatory below is authorized to bind the respondent contractually.

_____   _____

Authorized Signature   Date

_____

Name and Title (please print)

01 – Executive Summary

This provides the respondent's background, experience, and other qualifications to provide the services included in the Scope of Services and shall not exceed five pages.

02 – Respondent Qualification

This provides specific sections that require a response and any instructions for the respondent on how to respond to this section.

010   Respondent Qualifications Proposal Section Format

This section outlines how the respondent should format their qualification proposal in response to this RFP.

001 – Response Format

General proposal formatting requirements from "Section 7 – Proposal Requirements" of this RFP shall also apply to this section.

Failure to follow these formatting requirements may result in the rejection of the respondent proposal.

The Respondent Qualification response should include all sections as follows:

020   Company Information

Respondent shall provide information on their organization, history, total number of staff, locations, and strategic partnerships.

001 – Company Overview

The respondent shall provide a general company overview. Please limit the discussion to two pages.

002 – Company Uniqueness

The respondent shall provide a discussion as to what unique qualifications their company has that sets them apart from other pension system implementation companies. The respondent shall limit the discussion to two pages.

030   Company Financials

Respondent shall provide their company financials.

001 – Company Financials

The respondent shall provide financial statements: income statements, balance sheets, and cash flow statements for the most recent three years. If not specifically stated in the previously requested documents, the respondent shall state which percentage of their revenue and profits

are attributed only to pension system implementations where the respondent was the prime contractor.

040   Public Pension System Clients

Respondent shall provide a list of all public pension systems where they have performed services of any kind in Section 001 – Public Pension Clients. If a respondent does not have any Public Pension Clients, respondent shall provide a list of other similar types of clients that may be relevant to this proposal in Section 002 – Other Applicable Clients. It is expected that clients that are listed in Section 002 will have been provided a similar scope of work by the respondent.

<u>001 – Public Pension Clients</u>

Agency Name: <name of the agency>

Project Name: <name of the project>

Proposed Project Start Date: <original date the respondent proposed to begin working on the project>

Actual Project Start Date: <date that respondent began working on the project>

Proposed Project End Date: <original date the respondent expected to finish the project>

Actual Project End Date: <date the respondent finished working on the project or is planning on finishing work on the project>

Project Costs: <total cost of the project>

Project Objectives: <description of the objectives of the project including major subsystems outside standard LOB, such as workflow, accounting package, data warehouse>

System implemented: <description, including version of LOB software implemented, if not core COTS or framework solution put down custom>

Respondent's Role: <describe the respondent's role on the project>

<u>002 – Other Applicable Clients (if the respondent has no Public Pension Clients)</u>

Agency Name: <name of the agency>

Project Name: <name of the project>

Proposed Project Start Date: <original date the respondent proposed to begin working on the project>

Actual Project Start Date: <date that respondent began working on the project>

Proposed Project End Date: <original date the respondent expected to finish the project>

Actual Project End Date: <date the respondent finished working on the project or is planning on finishing work on the project>

Project Costs: <total cost of the project>

Project Objectives: <description of the objectives of the project including major subsystems outside standard LOB, such as workflow, accounting package, data warehouse>

System implemented: <description, including version of LOB software implemented, if not core COTS or framework solution put down custom>

Respondent's Role: <describe the respondent's role on the project>

050 References

Respondent shall provide reference information for three clients that are of comparable size to OCERS.

<u>001 – Reference Information</u>

Agency Name: <name of the agency>

Project Name: <name of the project>

Project Contact Person: <full name and title of the reference contact person that has firsthand knowledge of respondent's performance on the project>

Project Phone Number: <work phone number of the reference contact person>

Contact Email Address: <work email address of the contact person>

Contact Person's Role: <provide information on the contact person's role on the project including length of time on the project>

Proposed Project Start Date: <original date the respondent proposed to begin working on the project>

Actual Project Start Date: <date that respondent began working on the project>

Proposed Project End Date: <original date the respondent expected to finish the project>

Actual Project End Date: <date the respondent finished working on the project or is planning on finishing work on the project>

Project Cost: <total cost of the project, including respondent invoices, other vendor invoices, software licenses and hardware purchases>

Project Objectives: <description of the objectives of the project>

Project Outcomes: <description of the project outcomes – did the project achieve its objectives?>

Project Changes: <description of any significant changes to scope, schedule, cost, or quality that occurred during the respondent's work on the project>

060 Product Information

Respondent shall provide general information about their product.

001 – Product Information

OCERS expects that the overall solution proposed in response to this RFP may include a mix of products and services. For purposes of this section, "Product" is generally defined to include pension administration or related software frameworks, software as a service (SaaS) or comparable products. "Product" does not include custom development. Each respondent (prime and all subcontractors) shall provide information about their product(s) or major solution components that will be provided as part of the overall proposed OCERS Horizon Pension Administration solution.

The respondent shall provide a discussion of proposed software, services, and other solution components proposed as part of the response to this RFP. This product information must include a list of each product and a narrative that covers at least the following topics for each product:

- The name, current version, and current version release date of each product(s) being proposed
- The name of the original version of the product along with initial release date
- A description of the required base components and related functionality
- A description of the role that the product plays in the overall proposed OCERS Horizon Pension Administration solution including major functionality provided by the product
- A description of the basic concept or philosophy of the product architecture
- The unique characteristics of the product that set it apart from other similar products
- A description of the future direction of the product such as planned upgrades (minor and major), future planned functionality, etc.

The respondent shall limit the response to no more than two pages per product.

002 – Product Visual Design and User Experience

OCERS is interested in obtaining a system that provides a look and feel designed from the specific user's point of view. Therefore, the respondent shall provide a high-level illustration of how their solution has a similar look and feel across the solution while considering the target audience (e.g., member, employer, OCERS staff).

The respondent shall limit response to no more than two pages.

003 – Product Future Direction

Respondent shall provide a description of the future direction of their product to include company roadmap information and a timeline of when expected functionality will be available. Include a description as to how this functionality, feature, or technology is a benefit to a retirement agency

and aligned with OCERS Vision for the future (See Appendix A). The respondent shall limit the discussion to three pages.

004 – Ability to Adapt

OCERS is interested in obtaining a system that can adapt easily and rapidly with new plans or requirements. The respondent shall demonstrate how the proposed solution would be able to adapt easily to change. For the following potential scenarios, describe what would be required to respond to the type of change and illustrate how difficult it would be to address the scenarios in the solution. This should include both OCERS and/or vendor involvement:

1. If OCERS and OCERS employers were required to participate in SSA. This would potentially require an offset to OCERS legacy members' pension amounts and other changes.
2. If the IRS changes the format of the 1099 format and new information is required to be reported.
3. If a new transmittal data field requirement was identified that needs to be added to the employer transmittal file.

The respondent shall limit the response to no more than one page.

070   Litigation and Other Proceedings

Respondent shall provide information on any litigation or legal proceedings involving the company.

001 – Litigation Information

Respondent shall identify in their proposal any litigation over the last ten (10) years involving claims against respondent by providing the case name, case number, jurisdiction, concise description of the claims or dispute, and case status (e.g., final judgment, settlement, pending). In addition, Respondent shall identify litigation occurring at any time that involved claims against respondent related to products or services similar to those that respondent intends to provide under the instant proposal for OCERS pension administration solution, including projects respondent has identified in response to "040 Public Pension System Clients," above, by providing the case name, case number, jurisdiction, concise description of the claims or dispute, and case status (e.g., final judgment, settlement, pending).

Respondent shall list all investigations of respondent, or proceedings initiated against respondent, by any administrative or regulatory body within the last ten (10) years, indicating the dates and any resulting fines, penalties, or other actions taken or ordered by that administrative or regulatory body.

080   Methodology

The respondent shall propose what it feels is the best fit of the respondent's solution, methodology, and associated components when considering OCERS needs. The methodology must include the ability to identify and organize project activities and discussions in a way that is always clear as to which OCERS Key Business Process is being supported. These Business Processes are a fundamental component of OCERS customer services delivery, operations, performance measurement, and customer satisfaction goals.

As part of this proposal the respondent should explain the pros and cons of the approach planned for the OCERS Horizon Pension Administration project. A comprehensive project management and solution development methodology must be clearly described including roles and participation of the respondent team and OCERS staff in executing the methodology.

OCERS requires the following major phases to be considered by the respondent when developing its proposal. If the respondent's standard methodology cannot be adapted to include the following or similar phased approach, the proposal must define and fully explain an alternative approach.

The respondent shall limit the response for this entire section (080 Methodology) to no more than ten pages.

Table 7.0: *Phases*

Phase (Note A)	Scope
1. **Commitments, Requirements confirmation and Fit Gap**	• Professional services that require a vendor to evaluate and confirm all commitments in the RFP and further define requirements as needed • Install (cloud software) for use as a working demonstration system in conducting Fit Gaps sessions. • Identify all gaps between the proposed software configuration and OCERS commitments • Confirm a "Go / No-Go" decision to move to Phase 2 - Design for Gaps
2. **Design for Gaps**	• Conduct design sessions using working software for demonstration of proposed functionality • Create design documents for customizations where needed to close gaps identified in Phase 1 • Determine Go / No-Go to next two phases: Software Deployment and Build/Deploy
3. **Deployment of solution and related items according to the design approved in Phase 2.**	• Provisioning of the environment • Deployment of solution and related items according to the design approved in Phase 2 • Vendor leads a team of vendor / OCERS staff (if needed) that jointly installs all software. Vendor is responsible for successful installation and testing of all installed software, and related items

4. **Build and Deploy**	• Vendor leads a team of vendor / OCERS staff (if needed) that jointly configures / customizes all software as needed • Vendor thoroughly tests all systems, software, services, and integrations. • OCERS / contractors conduct user acceptance testing (UAT) – a minimum of 20% of the proposed schedule should be allocated to UAT.

Note A - If there are sub-phases or multiple iterations with the same scope as the phases shown above, all sub-phases or iterations will follow the same steps and Go/No Go decision steps for each iteration within the defined phase. These specific iterations and steps must be included and explained in the respondent's proposal.

Note B – The cost proposal requires the respondent to propose all costs to fully deploy a solution that meets the requirements included throughout this RFP. The proposal cost and budget are synonymous. See 04 – Cost Proposal for more details.

001 – Project Management Methodology Overview

The respondent shall provide a description of the methodology they intend to use to manage the implementation of their solution.

002 – Assumptions, Constraints, Dependencies, and Risks

The respondent shall provide a description of any assumptions, constraints, dependencies, and risks that are relevant to the proposed methodology.

003 – Project Management Methodology Deliverables, Templates, and Tools

The respondent shall list all project management deliverables, their purpose, and generally, when the respondent produces the deliverables. For each deliverable, the respondent shall provide the template(s) they intend to use. The respondent shall describe the tool(s) they intend to use to support this process.

004 – System Development Methodology Overview

The respondent shall provide a description of the methodology they intend to use to fully develop and test their proposed solution.

005 – System Development Methodology Deliverables, Templates, and Tools

The respondent shall list all system development methodology deliverables, their purpose, and generally, when the respondent produces the deliverables. For each deliverable, the respondent shall provide the template(s) they intend to use. The respondent shall describe the tool(s) they intend to use to support this process.

006 – Code Management Methodology Overview

The respondent shall provide a description of the methodology they intend to use to manage code and successfully deploy releases of any kind.

007 – Code Management Methodology Deliverables, Templates, and Tools

The respondent shall list all code management deliverables, their purpose, and generally, when the respondent produces the deliverables. For each deliverable, the respondent shall provide the template(s) they intend to use. The respondent shall describe the tool(s) they intend to use to support this process.

008 – Change Control Methodology Overview

The respondent shall provide a description of the methodology they intend to use to manage the out-of-scope changes requested by OCERS.

009 – Change Control Methodology Deliverables, Templates, and Tools

The respondent shall list all change control deliverables, their purpose, and generally, when the respondent produces the deliverables. For each deliverable, the respondent shall provide the template(s) they intend to use. The respondent shall describe the tool(s) they intend to use to support this process.

010 – Data Conversion Methodology Overview

The respondent shall provide a description of the methodology they intend to use for data conversion management during the implementation project. This should include activities, such as supporting OCERS data condition and preparation activities, data extraction, transformation, loading (ETL), validation, and reconciliation.

011 – Defect Management Methodology Overview

The respondent shall provide a description of the methodology they intend to use for defect management during the implementation project.

012 – Defect Management Methodology Deliverables, Templates, and Tools

The respondent shall list all defect management deliverables, their purpose, and generally, when the respondent produces the deliverables. For each deliverable, the respondent shall provide the template(s) they intend to use. The respondent shall describe the tool(s) they intend to use to support this process.

013 – Training and OCERS Staff Support Methodology Overview

The respondent shall provide a description of the methodology they intend to use for Training and OCERS Staff Support during the implementation project. This should include both End User and Technical Staff Training.

014 – Training and Support Methodology Deliverables, Templates, and Tools

The respondent shall list all training and support deliverables, their purpose, and generally, when the respondent produces the deliverables. For each deliverable, the respondent shall provide the template(s) they intend to use. The respondent shall describe the tool(s) they intend to use to support this process.

015 – Business Process Reengineering

The respondent will be responsible for incorporating Business Process Reengineering (BPR) as needed to realign the current OCERS process with the processes proposed in the proposed solution. The respondent must describe in the proposal how BPR is included in design and configuration planning, how the respondent will assist in identifying the need for BPR, and how the respondent will incorporate the restructuring of OCERS processes so that the solution and business processes work in concert effectively and efficiently. OCERS does not intend to conduct any other significant BPR initiatives during the OCERS Horizon Pension Administration project. The primary focus is on implementing OCERS Horizon and only those changes identified as part of the project.

090   *Respondent's Responsibility*

Respondent shall acknowledge their responsibility for the project.

001 – Respondent Acknowledgement

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.

100   *Project Team*

The respondent shall provide a description of the entire project team, the name of the project's key resources and their resumes. OCERS understands that respondents often use project staff to support their company business. Therefore, the respondent shall state the percentage of each team member's time the respondent is dedicating to this project. The respondent shall provide the percentage of time each team member is expected to be onsite at OCERS.

001 – Project Team

The respondent shall provide an organizational chart of the project team. The organizational chart shall show each team member's name, role, responsibilities, percentage of time dedicated to OCERS, and the percentage of time they expect to be on site at OCERS.

Respondent staff interfacing with OCERS staff must have strong verbal and written communication skills in United States English. The respondent may use limited offshore resources for development, but the offshore resources shall be transparent to and approved by OCERS.

002 – Resumes

The respondent shall provide the resumes of the Account Manager, Development Manager, Solutions Architect, Testing Manager, and key Business Analysts. OCERS expects that these individuals shall have experience in the public retirement industry.

The respondent shall limit each resume to no more than two pages.

003 – Participation in Oral Presentations and Proof of Concept (POC)

If the respondent is selected as a finalist, the respondent shall have the Account Manager, Development Manager, Solutions Architect, Testing Manager, key Business Analyst(s) and any other key project resources participate in an up to two (2) day Proof-of-Concept (POC) exercise in person at the OCERS office.

Following the POC, the respondent shall have a three (3) hour remote Oral Presentation/Interview. It is expected that the Account Manager, Development Manager, Solutions Architect, Testing Manager, key Business Analyst(s) will be the only presenters. The Development Manager is allowed as an optional presenter. The only exception will be the initial 30 minutes of the orals at which time the Respondent can have anyone present.

It is expected that the Account Manager, Development Manager, Solutions Architect, Testing Manager and key Business Analyst(s) will answer all questions from the Evaluation Committee, unless otherwise directed by the Evaluation Committee.

The respondent shall indicate that if they are selected as a finalist they will participate in the finalist activities described in this section.

110   Respondent's Implementation Schedule

The respondent shall provide a description of their implementation strategy and schedule.

The respondent shall limit the response for this entire section (110 Respondent's Implementation Schedule) to no more than ten pages.

001 – Project Implementation Strategy

The respondent is free to propose an implementation strategy they feel best ensures the success of the project. The respondent shall provide an explanation as to their reasoning for the proposed strategy.

002 – Assumptions, Constraints, Dependencies, and Risks

The respondent shall provide a description of any assumptions, constraints, dependencies, and risks that are relevant to the proposed project implementation strategy and schedule.

003 – Implementation Schedule

The respondent shall provide the implementation schedule with the best estimated milestones for the project and their best-case start date. The respondent shall create separate, independent schedules for the technical infrastructure implementation, data conversion, migration and bridging, employer reporting, optional functionality, and the development of the LOB functionality. The schedule shall include transition activities including OCERS technical staff onboarding (if required) and cut-over plans.

Note: OCERS plans to partner with a Data Services vendor to assist with the preparation of data for the respondent to extract, transform (as needed), and load into the proposed solution.

03 – Project Commitments and Requirements

This provides detailed solution commitments as defined by OCERS and other sections that require agreement and a response from the respondent.

010 - Project Commitments Proposal Section Format

This section defines the format the respondent shall use to respond to this section of the RFP.

001 – Response Section Format

General proposal formatting from "Section 7 – Proposal Requirements" of this RFP shall also apply to this section.

Failure to follow these formatting requirements may result in the rejection of the respondent proposal.

020 - OCERS Key Business Processes

The list of all OCERS Key Business Processes and example subprocesses within those are available in Section 2.1 - Business Overview (Key OCERS Business Processes). The respondent shall confirm the proposed solution will be able to cover all OCERS Key Business Processes.

Listed below are subsets of the OCERS Key Business Processes to be covered by the respondent's proposed solution. For each Key Business Process listed below, describe how, at the process level, the respondent's solution works in an automated manner and any exception paths. The description

should include any differences that may exist between external processes (e.g. member or employer execution) vs internal processing (OCERS staff).

Processes may be combined for demonstration purposes if they are clearly identified and still cover all requested information.

001 – Disability Services
- Disability Applications Processing
- Disability Appeals
- Retiree Return to Work Eligibility

002 – Employer Services
- Employer Information Maintenance
- Member Enrollment Processing
- Employer Payroll Reporting
- Member Information Maintenance
- Employer Customer Relations

003 – Finance Services
- General Ledger Integration
- Payment Processing
- Tax Reporting

004 – Member Services
- Member Information Maintenance
- Member Customer Relations
- Purchase of Service Processing
- Reciprocity Processing
- Member Termination
- Contribution Withdrawal or Rollover
- Active Member Death Processing
- Benefit Estimates
- Retirement Application Processing
- Retirement Payroll
- Retiree Return to Work Processing
- Death After Retirement Processing
- Legal Order Processing
- Member Correspondence
- Disability Payroll Processing
- COLA Processing

030 - Functional Commitments

This section specifies the OCERS functional commitments for the respondent's proposed solution.

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.

The term "view" is used to refer to a set of parameters driven and online representations that cover a specific OCERS need and can be filtered and sorted as needed. The view should also be able to be extracted in a usable format for reporting and further analysis. Other definitions of relevant terms are available in Attachment A – Definitions.

At times, examples are provided within commitments to provide additional illustration of the commitment. This may use the terms "e.g.", "such as", "for example". These are examples only and are not to be considered exhaustive lists of what is required.

The respondent shall indicate for each commitment if they "Agree…" or "Take an exception". If the respondent "takes an exception," then they must enter the exception explanation in the Respondent's Exception table below. If the respondent takes no exception, then the respondent agrees to fully satisfy the commitment. Options to respond to each commitment are:

Table 8.0: Commitment Responses

Agree – Met by core product	Met by core product is meant to convey that the most recent fully implement version of the solution can meet the commitment.
Agree - Met by configuration	Met by configuration is meant to convey that the solution can be configured by simply changing a parameter and does not require additional coding.
Agree – Met by customization	Met by customization is meant to convey that the commitment will require custom coding to meet the commitment. If a commitment requires custom coding, provide the cost of the effort for meeting the commitment.
Take an exception	Take an exception is meant to convey that the commitment cannot be fully met. If an exception is taken to a commitment, complete the Respondent's exception table.

The respondent shall respond to each commitment with one of the above options. If additional explanation is required, such as cost of a customization, include that in the customization cost column. The respondent should download the excel spreadsheet of all commitments and complete column D and E when applicable and then upload the completed spreadsheet along with the written proposal.

040 - End-user Reporting Solution (Narrative Response Required)

Commitments related to reporting are captured in the commitment list. The respondent shall respond to all commitments related to reporting.

As part of the proposed solution, the respondent shall include a robust business user reporting solution that can access information and integrate with all systems that are part of the solution or outside, if available. The purpose of this solution is to allow the business user to perform analysis of data and to create outputs that can provide actionable insights not readily available in the LOB system. Provide a brief description of the reporting solution that is proposed.

050 - Workflow Specification (Narrative Response Required)

Commitments related to workflow specification are captured in the commitment list. The respondent shall respond to all commitments related to workflow specification.

As part of the proposed solution, the respondent shall provide automated workflow capabilities to cover all OCERS key business functions. The proposed solution should provide capabilities to grow with OCERS future needs and integrate with other services that are part of the solution. Provide a brief description of the workflow solution that is proposed.

055 – Warranty (Narrative Response Required)

Commitments related to Warranty are captured in the commitment list. The respondent shall respond to all commitments related to Warranty.

The respondent shall additionally confirm warranty terms and conditions through red line of the OCERS Service Agreement in Attachment F – Service Agreement Template.

060 - Post Implementation Support and Solution Maintenance (Narrative Response Required)

Commitments related to Post Implementation Support are captured in the commitment list. The respondent shall respond to all commitments related to Post Implementation Support.

The respondent shall provide a description of the respondents standard Post Implementation Support and Maintenance model(s).

070 - System Performance (Narrative Response Required)

Commitments related to System Performance are captured in the commitment list. The respondent shall respond to all commitments related to System performance.

The proposed solution must meet high standards of performance to ensure consistent, responsive, and reliable service for our members and staff. The respondent shall provide a narrative describing the performance characteristics of their solution addressing the following areas: system responsiveness and latency; scalability and elasticity; service level objectives or agreements related to system performance; monitoring and reporting; and end-user experience optimization strategies or tools.

080 – Customer Correspondence (Narrative Response Required)

OCERS intends to approach customer correspondence with a Digital First mind set – meaning that customer communication should be primarily done through digital means vs paper, mailed correspondence. Outgoing communications to members, annuitants, employers and other stakeholders may require revamping, so all firms responding to this RFP must include the services to create and deploy communications of all types (text, emails, letters, and secure web correspondence) to members, annuitants, employers, and other stakeholders based on the needs of the proposed solution. The respondent will also be responsible for all user experience writing and design of user interfaces for both the internal facing solutions and externally facing website portals (or mobile applications) for members, annuitants, employers, reciprocal systems, disability service providers, and others. OCERS staff will be responsible for reviews and approval of communications and websites during the requirements definition, development, testing, and deployment after they are designed and built by the solution provider's team.

The respondent shall propose a comprehensive method for creating/configuring communications as part of the OCERS Horizon Pension Administration project.

090   Respondent's Technical Solution Responses

In addition to addressing all technical commitments, respondents must propose a solution architecture that aligns with OCERS vision for a modern, technology-driven solution. Respondents should demonstrate this by presenting their solution clearly through multiple formats (e.g., text, tables, illustrations, diagrams) specifically tailored to OCERS requirements. Respondents are encouraged to avoid marketing collateral or high-level generic information and instead provide detailed, OCERS-specific responses that directly address each of the following questions.

001 - Technical Solution Response

Respondents must address the following in detail:

1. **Infrastructure Technologies and Components**

   - Identify and describe all infrastructure technologies and components underpinning the solution.

   - Specify release levels and versions for all technologies.

   - Clearly differentiate between components deployed as IaaS, PaaS, SaaS, or on-premises. Indicate whether technologies are open standards-based, vendor-proprietary, or commonly adopted within the public sector.

2. **Cloud Deployment Model**

   - Describe the cloud deployment strategy, including vendor selection (e.g., AWS, Azure, GCP), regional data center usage, and redundancy planning.

   - If hybrid or multi-cloud is proposed, outline integration, failover, and workload balancing strategies.

- Explain how secure connectivity will be maintained between OCERS on-premises network and any cloud-based resources (e.g., VPN, ExpressRoute, Direct Connect).

3. **Monitoring, Observability, and Performance**

- Describe tools and processes used for real-time capacity, performance, and health monitoring.

- Include how logs, metrics, and traces will be collected, stored, and analyzed for observability (e.g., Azure Monitor, CloudWatch, Datadog, Splunk).

- Define alerting methods (e.g., email, dashboards, Teams, SIEM integration) and supported escalation procedures.

4. **Scalability and Future Growth**

- Articulate how the architecture will scale to meet projected increases in user load, data volume, and transaction frequency.

- Include strategies for elastic resource provisioning, horizontal scaling, and infrastructure modernization.

- Describe how the platform supports continuous improvement, version upgrades, and agile deployment cycles.

5. **Business Continuity and Disaster Recovery**

- Provide a detailed business continuity and disaster recovery (BC/DR) plan tailored to the proposed solution.

- Define Recovery Time Objectives (RTOs) and Recovery Point Objectives (RPOs).

- Describe DR testing frequency and the ability to simulate failover or restore from backups with minimal disruption.

6. **Artificial Intelligence (AI) and Machine Learning (ML) Readiness**

- Describe the solution's readiness to integrate with AI/ML platforms and tools.

- Outline any embedded AI-driven capabilities (e.g., anomaly detection, predictive analytics, chatbot support).

- Explain how AI can enhance OCERS business processes, operational insights, or member services.

7. **Integration:** Respondents must specify which systems their solution integrates with to meet OCERS needs, clearly identifying any limitations, dependencies, or preferred proprietary or third-party systems. Clear articulation of integration capabilities will aid OCERS in evaluating vendor solutions based on compatibility with existing and future systems.

Proposals must include the following:

- A comprehensive application inventory detailing descriptions and module specifications, identifying third-party applications versus vendor-provided applications.

- Identification of applications requiring custom configuration versus those available as out-of-the-box solutions.

- A clear distinction between new applications and those that will be retained, modified, or upgraded within OCERS existing environment.

- Supporting utilities and toolsets essential to the solution.

- Identification of all third-party software required by, incorporated into, or combined with the PAS and/or the services provided in any maintenance and support obligations.

- A hosting and deployment strategy, specifying whether the solution is on-premises, cloud-based, or hybrid.

001 - Technical Solution Questions

For each question below, refer to the corresponding Technical Solution section in Attachment B-3 Technical Solutions and ensure your response addresses all requirements outlined in that section. In addition, provide a direct and specific answer to the question.

1. Technical Solution

How does the proposed solution architecture align with OCERS vision for a modern, technology-driven system, demonstrating technical expertise, best practices, and adherence to the list of commitments?

2. Application Architecture

How does the proposed application architecture support a modular, scalable, and future-ready framework, including prebuilt connectors, integration capabilities, and a clear distinction between custom-configured and out-of-the-box solutions?

What backend and front-end technologies are used in the proposed solution, and what technical skill sets are required for OCERS staff to manage, maintain, and customize the system effectively?

3. Contact Center

How does the proposed Contact Center solution support an omnichannel experience, seamless integration with CRM-CEC, enhanced first-contact resolution, 360° member views, centralized analytics, self-service capabilities, and future scalability for AI-powered and digital interactions?

4. Business Process Automation (BPA) and Integration Architecture

How does the proposed Business Process Automation (BPA) and Integration Architecture support seamless system connectivity, real-time and event-driven processing, low-code/no-code capabilities, and scalable automation while ensuring high availability, security, and future AI/ML readiness?

5. AI Capabilities

How does the proposed solution support AI-readiness, including seamless integration of an AI assistant across self-service channels, modular architecture for AI enhancements, AI-to-live agent handoff, internal AI assistance for staff, and scalable support for future AI and machine learning advancements?

6. Data Platform and Information Architecture

How does the proposed data platform and information architecture ensure a centralized, secure, and scalable approach to data management, providing a sole source of truth, seamless data integration, analytics capabilities, compliance with OCERS data classification framework, and future readiness for AI and machine learning initiatives?

7. Infrastructure and Technology Architecture

How does the proposed infrastructure and technology architecture leverage cloud-based models (IaaS, PaaS, SaaS) to ensure scalability, high availability, cost efficiency, and compliance while integrating with OCERS existing ecosystem and supporting business continuity and disaster recovery?

8. Infrastructure and Technology Security

How does the proposed security architecture implement a proactive, layered security model, leveraging IAM and CIAM, multi-factor authentication, role-based access control, digital identity verification, and industry best practices to protect sensitive information and mitigate risks?

9. Fraud Prevention and Detection Features

How does the proposed solution provide a comprehensive fraud prevention and detection framework, including real-time identity fraud prevention, account takeover protection, bank account verification, call center fraud mitigation, deceased member fraud detection, and secure validation of vital records and addresses?

10. Secure Software Development

How does the proposed solution ensure a secure development lifecycle, including regular security assessments, penetration testing, timely security patches, and vulnerability remediation, minimizing risks?

11. Release and Deployment Management

How does the proposed solution ensure a structured, automated, and minimally disruptive release and deployment management strategy, including version control, rollback procedures, pre-production testing, and coordination across integrated systems? How does the proposed solution handle post-go-live upgrades for the proposed solution including all

components, ensuring seamless implementation of major and minor releases without restrictions due to OCERS-specific configurations, while minimizing the effort required from OCERS staff?

100   Respondent's Exceptions

The respondent shall specify any exceptions to any of the commitments or other requirements specified in this RFP. The respondent shall describe any alternative to the stated requirement if it meets the intent and spirit of the commitment. Alternatively, the respondent shall state that they have no proposed alternative.

001 – Exceptions

Using the format in the following table the respondent shall provide the details to each exception they have to commitments found in this RFP.

Requirement Reference (Page, Section)	Explanation for the exception	Respondent's proposed alternative

04 - Cost Proposal

This document provides specific sections that require a response and any instructions for the respondent on how to respond to this section.

010 - Cost Proposal Format

This section outlines how the respondents should format their cost proposal in response to this RFP.

001 – Response Format

This section outlines how OCERS would like the cost proposal broken down. This includes the total fixed bid cost for the proposed solution, as well as other costs requested by OCERS

Respondent must specify all costs to satisfy the requirements of this RFP, including hardware, software and third-party services that comprise the deliverables. OCERS will not pay any invoice based

on partial completion of deliverables, the passage of time, or travel costs and related expenses incurred by the respondent.

The cost proposal should have four sections as follows:

001 –   Cost Details
        This section will provide the project cost by different categories

002 –   Payment Schedule
        This section will provide a timeline or cost schedule for the project

003 -   Change Control
        This section will provide estimating and cost structure for change orders.

004 -   Cost of Ownership
        This section will provide pricing for maintenance agreements for a period of ten years.

OCERS does not pay respondent travel costs or other related expenses, these costs should be incorporated into the fixed bid and should be inclusive of all respondent expenses.

020 - Cost Details

Note: Text within each table are examples only.

<u>001 – Functional Requirements</u>

This is the required Line of Business functionality costs, from <u>Attachment B.2 Scope of Services, Functional Commitments</u>. The costs provided to OCERS in this section shall be a single total fixed cost for all these commitments.

Deliverable	Deliverable Cost
Line of Business functionality	
Total:	

<u>002 – Technical Solution</u>

This is the required Technical Solution costs, from Attachment B.3 Scope of Services, Technical Solutions.

Deliverable	Deliverable Cost
Conversion and Bridging	
Disaster Recovery	
General Technical (if applicable as a separate cost)	
Security (if applicable as a separate cost)	

Software (the type, specifications, appropriate number, and cost for each software component required to implement the proposed solution)	
Software item #1	
Software item #2	
Etc….	
Testing	
Customization and configuration	
User Access Fees	
Hosting Fees	
Total:	

003 – Training and OCERS Staff Support

This is the required cost related to Training and OCERS Staff Support. The costs provided to OCERS in this section shall be a single total fixed cost for all these requirements.

Deliverable	Deliverable Cost
Training and OCERS Support	
Total:	

004 – Warranty

This is the required costs related to the warranty period. The costs provided to OCERS in this section shall be a single total fixed cost for all these requirements.

Deliverable	Deliverable Cost
Warranty	
Total:	

005 – Post Implementation Support

This is the required Line of Business functionality costs, from Attachment D Section 04 – Project Commitments and Requirement, 060 Post Implementation Support. The costs provided to OCERS in this section shall be a single total fixed cost for all these requirements.

Deliverable	Deliverable Cost
Post Implementation Support	
Total:	

006 – Total Solution Costs

The following table provides a summary of the respondent costs above.

Deliverable Cost Section	Total Section Cost	Yearly Cost
001 – Functionality Costs		**N/A**
002 – Technical Costs	**N/A**	**N/A**
Conversion and Bridging		**N/A**
Disaster Recovery		
General Technical		
Hardware		
Security		
Software		
Testing		**N/A**
003 – Training and OCERS Support Costs		**N/A**
004 – Warranty Costs		**N/A**
005 – Post Implementation Support Costs		**N/A**
Total Fixed-Price Cost:		

030 - Payment Schedule

The respondent is to provide their proposed payment schedule for the project.

001 – Payment Schedule

The payment schedule should specify at a minimum quarterly timeframe and the costs associated with each quarter (Quarter 1, quarter 2, quarter 3, etc.).

The payment schedule should include a line item for each of the sub-sections outlined in section 020 – Cost Details.

The payment schedule total should equal the "Total Fixed-Price Cost" in sub-section 006 – Total Solutions Costs.

The payment schedule should align with the Respondent's implementation schedule and physical deliverables that can be associated with a Deliverable Expectation Document (DED). These deliverables can then be an individual Milestone in the payment schedule or can be grouped together to make up a Milestone in the payment schedule.

Respondent shall propose implementation costs in a flat fee format for each designated Milestone. Consideration will be given to the timing of cash flows. OCERS will hold back 10% of each Milestone and the accumulated Milestone holdback funds will be paid on the final Milestone.

Below is an **example** of an implementation project schedule. With OCERS approval, Respondent should revise this milestone schedule to fit their processes, OCERS staff availability in **Section 2.4 OCERS Project Constraints** and understanding of the RFP and Contract requirements. The Maintenance Period will begin after the Acceptance Milestone is achieved.

Milestone	Description	Planned Delivery (YY/Qtr)	Gross Price	Hold back	Invoice Price
1	Project Plan		$	$	$
2	Pension & Benefits Administration Agile Initiative #1 Demo/Acceptance Initiative #1		$	$	$
3	Pension & Benefits Administration Agile Initiative #2 Demo/Acceptance Initiative #2		$	$	$
4	Pension & Benefits Administration Agile Initiative #3 Demo/Acceptance Initiative #3		$	$	$
5	Final UAT (End-to-End Business Process) Testing		$	$	$
6	UAT Go/No Go Quality Gate		$	$	$
7	Cutover/Go Live		$	$	$
8	Final Acceptance		$	$	$

NOTE: We suggest that for development that the vendor milestones and corresponding payments be tied to the delivery and testing of the full end to end business process. This will help to ensure that the pension organization is receiving something in its entirety and not pieces that are being signed off on and paid for. Hopefully this will also push the PAS vendor into a more business process development effort.

040 - Change Control

The respondent is to provide their estimating and cost structure for change orders.

001 – Billing Rates for Change Orders

If there are changes to OCERS requirements in this RFP after the respondent submits a proposal, but before all the deliverables in the respondent's proposal have been accepted by OCERS, the respondent will estimate the cost of the change using the billing rates below:

Role	Hourly Rate
Project Manager	
Application Architect	
Business Analyst	
Developer	
Database Analyst	
Training & Documentation Specialist	
Network Engineer	
Other	

If the respondent's change control methodology is to provide a fixed bid for any change being requested rather than time and material, please respond to this section stating that your methodology for change control is fixed bid and do not fill in the hourly rate table above.

050 - Cost of Ownership

Respondent shall provide its firm, fixed pricing for Respondent's Maintenance Agreement for Years 1 through 10 in the table below. The respondent may not include any assumptions or conditions in its Price Proposal.

The respondent shall be responsible for installing, configuring, and maintaining (e.g., maintenance, upgrades, warranty, patching, etc.) all software (full stack of software) required to meet the RFP specifications.

Year	Price – Hosted Only
1	$
2	$
3	$
4	$
5	$
6	$
7	$
8	$
9	$
10	$

Attachment E – Supporting Documents

Appendix A – OCERS Vision

OCERS Vision

The OCERS Vision was an outcome of the Visioning workshop, which was conducted prior to the Needs Assessment process. During the workshop, Provaliant collaborated with OCERS leadership and stakeholders to define the organization's long-term goals and desired future state.

OCERS envisions providing superior member service by leveraging automation and digitization to streamline business processes, foster efficiency, enhance accuracy, and provide the most satisfying user experience for members, employers, staff, and partners with a system that will meet evolving needs.

The comprehensive vision includes:

Customer Service and Support

Virtual Assistants: Implement AI-driven virtual assistants to handle common inquiries, provide information on retirement plans, assist with online applications, and form submissions.

Automated Case Management: Use Customer Relationship Management (CRM) systems to automate the tracking and resolution of member inquiries and issues, ensuring timely responses and follow-ups.

Contact Center: Provide services in any channel, with an omnichannel capable contact center.

Education Center: Artificial intelligence assistants (AI Assistants) provide personalized employer and member learning experiences with tailored content relevant to their needs.

Modern Self-Service

Member Onboarding: Automate and secure member registration and onboarding process, leveraging low-friction identity verification and authentication.

Member Portal and Mobile App: Implement a modern self-service solution where all facets of the Member Journey are automated with straight-through processing. Members can manage everything online via the portal and mobile app, including updating personal information, viewing retirement benefits, calculating estimates (retirement benefit, cost of purchasing service credit, etc.), and applying through streamlined, monitored processes. Also, it features a document center to view/upload/download/e-sign documents securely and contains a secure message center to communicate with OCERS staff members.

Employer Portal: Implement a highly automated self-service portal where employers can validate the reporting data for accuracy and adequacy. Automation tools and processes help employers identify and correct data at their source. The number of exceptions allowed is reduced and gradually eliminated. Employers will also have the ability through the dynamic portal to correct multiple exceptions or errors from various pay periods in a single transaction, instead of the traditional method of addressing one pay period at a time.

Continuous Innovation and Improvement: With User-Centric Design, create intuitive and accessible interfaces for members, employers, and staff. Through continuous integration and

continuous development model, the OCERS design team will have the ability to regularly gather and implement feedback from all user groups to continuously improve user experience and services.

Modular Design for Seamless Updates and Multi-Channel Access: Implement frequent, incremental updates to introduce enhancements and new features, ensuring they are accessible across multiple channels and devices.

Virtual Assistant: An AI virtual assistant provides answers across all portals using context from segmented, OCERS-controlled knowledge bases. This functionality could help members, employers, and partners self-service some of their issues while also enhancing internal OCERS staff knowledge and response time to member questions.

Comprehensive Staff Portal

360-Degree Member View: Provide a holistic view of each member's data (including historical data from previous Pension Administration Systems), including contribution history, retirement plans, Memorandum of Understanding (MOU)/Personnel Resolutions, service records, current account status, documents, communications, and cases. The data should be centrally located and easily accessible for staff to perform analysis.

Customer Communication Tools: Enable engagement with members and employers through their preferred communication channels, offering intelligent, proactive and predictive communications and scheduling tailored to life events along the member journey. All member interactions such as emails are automatically logged into member profiles.

Document Management System: Centralized storage to securely collect, manage, store, share, and categorize documents to ensure all necessary paperwork can be easily processed, searched, analyzed, and retrieved.

Benefit Calculation and Disbursement: Retirement benefits are calculated automatically based on predefined rules and the disbursement process is automated.

Intelligent Workflow Automation: Automates routine processes such as benefit calculations, application reviews, and status updates, improving efficiency and reducing errors. Intelligently routes workflow and provides current status.

Automated Straight-through Processing (STP): Automate pension processes to allow transactions to be completed electronically from initiation to settlement without manual intervention, with the ability to set target thresholds and monitor transaction metrics.

Automated Contribution Tracking: Utilize algorithms to recognize, track, and reconcile contributions from various sources, ensuring accuracy and timely updates.

Staff Onboarding: Automate the onboarding process for new staff, including document verification and data entry. AI-driven virtual assistants help the new staff complete training and answer their questions instantly.

Automatic Notifications: Notification ability to "red flag" a profile on specific issues. Ex: DRO on file, member deceased, disability application in progress, litigation in progress, etc.

Dashboards Analytics and Reporting

Actionable Dashboards for Staff: These dashboards provide staff with actionable insights, improving efficiency, planning, and service delivery. They are also easily customizable, allowing business users to add or adjust views according to their needs and preferences.

Compliance and Audit: Automate data collection, validation, and reporting for all audit and compliance needs to ensure accuracy and efficiency. Provide dashboards with insights.

Actuarial Valuation Reporting: Visualize long-term liabilities, funding gaps, and actuarial assumptions.

Data Quality Monitoring Dashboard: Design configurable dashboards to identify data anomalies, and missing data. These dashboards should also be able to show the data lineage to pinpoint where the elements of the missing data are normally found to aid in mitigation strategies.

Data Analytics and Reporting: Use advanced analytics tools to generate insights and reports on system performance, member demographics, disability applications and demographics, and financial health. The insights need to be actionable, user-friendly, and easy to understand at all levels of the organization.

Business Process Exceptions: Use dashboards to visualize key production metrics in real-time, while also monitoring exceptions that alert teams to any deviations from normal operations. Ensure the business can easily understand, track, and review exceptions in automated processes.

Key Performance Indicator (KPI) / Key Risk Indicator (KRI) Dashboards: Visualize and analyze KPIs and KRIs using dashboards to effectively monitor business performance and alert business leaders to potential risks and opportunities for improvement.

Cybersecurity and Fraud Prevention

Cybersecurity: Continuously improve security posture with cybersecurity best practices and the necessary controls from major cybersecurity frameworks (CIS Controls, NIST CSF, NIST-800-53, ISO 27002, Cloud Security Alliance Cloud Controls Matrix, etc.).

Fraud Prevention: Utilize AI and Machine Learning (ML) to implement fraud prevention measures, including account takeover prevention, bank account fraud detection, call center fraud prevention, and deceased member fraud prevention, along with identity, vital records, and address verification methods.

Protect PII/PHI in the Cloud: Ensure Personally Identifiable Information (PII) and Protected Health Information (PHI) are protected in cloud-based systems, while also ensuring compliance with relevant data protection regulations to maintain data confidentiality and integrity.

OCERS Transmittal Legend

Objectives and Scope of the Transmittal File

Create new members in V3 based on new hires entered in source systems by the employers
Update existing members on V3 based on updates in the source systems (name, birth date, phone and e-mail attributes; member status)
Create or update home addresses for new and existing members
Create and update summary employment records for all members based on new employment or changes in existing employment, including changes in employer, plan, department, barg unit, job class, active and leave statuses, and full-time or part-time classification
Create V3 work reports (transmittals) and work history (member-level detail line items) by pay period for all members for an employer
Create V3 work report adjustments (transmittal adjustments) in order to update any salary, service or contribution information from past pay periods

File Format

The file format is fixed-length, with a header, footer and at least one detail record

Header Record Layout

Field ID	Field Name	Data Type	Length	Start Position	Stop Position	Required?	Description
1	Record Type	VARCHAR2	4	1	4	Y	HEAD – Header
2	Reporting Agency ID	VARCHAR2	3	5	7	N	Optional field; if the file is provided by one agency on behalf of another (e.g., Orange County generates file for Superior Court), then populate this file with the employer ID for the employer submitting the file; otherwise space-fill
3	Employer ID	VARCHAR2	3	8	10	Y	See Valid Values tab

4	Employer Name	VARCHAR2	30	11	40	Y	The employer name assigned by OCERS: see valid values; space fill after string
5	File Type	VARCHAR2	1	41	41	Y	R - Regular; A - Adjustment R is for the regular transmittals for the current pay period A is for adjustment details to prior pay periods
6	Pay Period Year	NUMERIC	4	42	45	Y	4-digit year for the pay period that this file was generated in
7	Pay Period Number	NUMERIC	2	46	47	Y	2-digit pay period number when this regular transmittal or adjustment transmittal was created; e.g., 01, 02, …, 12 or 27 Note, if an adjustment file is being submitted to adjust prior pay periods, the pay period year and number in the header should correspond to the current pay period in which the transmittal was submitted

Detail Record Layout

The detail line items are organized into 5 sections: Demographics, Employment, Transmittal, Reported Contributions, and Reported Pay Items.   To view each section click on the + sign to the left.

Transmittal Section	Field ID	Field Name	Data Type	Length	Start Position	Stop Position	Required?	Description; Formatting; References
Demographic				540	1	540		
Employment				58	541	598		

Employment	32	Employment Entry Date	DATE	8	541	548	N	Format: YYYYMMDD; Date member entered the pension system. (Note, this is not always the same as the hire date in the source payroll system.)
Employment	33	Separation Date	DATE	8	549	556	N	Format: YYYYMMDD; Last day member was on payroll in OCERS-eligible employment. Space-fill to leave the field blank.
Employment	34	Employment Type	VARCHAR2	2	557	558	Y	Full time or Part time; see Valid Values tab for codes
Employment	35	Plan Numeric ID	VARCHAR2	2	559	560	Y	See valid values tab.
Employment	36	Tier Level	VARCHAR2	5	561	565	Y	See Valid Values tab; add trailing spaces
Employment	37	Bargaining Unit	VARCHAR2	10	566	575	Y	List of Values : See Job Category Table

Employment	38	Department Code	VARCHAR2	5	576	580	Y	List of Values : See Department Code (Billing Location); add trailing spaces after string
Employment	39	Job Class Code	VARCHAR2	5	581	585	N	List of Values: See Job Class Code table; add trailing spaces after string, or space fill if left blank
Employment	40	Pay Status	VARCHAR2	5	586	590	Y	List of Values: see valid values tab
Employment	41	Employment Change Effective Date	DATE	8	591	598	N	Date that any employment attribute change took effect; that is, if employment type, plan ID, tier level, barg unit, dept code, job class code, or pay status code has changed, then the effective date captures the effective date of the change of any of those fields. Formatted as YYYYMMDD.
Transmittal				172	599	770		
Transmittal	42	Pay Period Year	DATE	4	599	602	Y	Pay Period Year to which record is applied; formatted as YYYY
Transmittal	43	Pay Period Number	VARCHAR2	2	603	604	Y	For biweekly – use 01-26 where 01 is the first pay period of the calendar year. For monthly, use 01 – 12, where 01 is January
Transmittal	44	Pay Period Begin Date	DATE	8	605	612	Y	Beginning Date of the Pay Period. Formatted as YYYYMMDD.
Transmittal	45	Pay Period End Date	DATE	8	613	620	Y	Ending Date of the Pay Period. Formatted as YYYYMMDD.
Transmittal	46	Pay Date	DATE	8	621	628	Y	Payroll process Date. Formatted as YYYYMMDD.

Transmittal	47	Comp Time Balance	NUMBER (Implied Decimal)	12	629	640	N	Comp Time balance from Active Payroll as of the Pay Period End Date. Implied Decimal (e.g. 10000 = 1.0000); add leading zeros in front of string; value should always be >= 0. Space-fill if no value reported
Transmittal	48	Annual Leave Balance	NUMBER (Implied Decimal)	12	641	652	N	Annual Leave balance from Active Payroll as of the Pay Period End Date. Implied Decimal (e.g. 10000 = 1.0000); add leading zeros in front of string; value should always be >= 0. Space fill if no value reported
Transmittal	49	Sick Balance	NUMBER (Implied Decimal)	12	653	664	N	Sick balance from Active Payroll as of the Pay Period End Date. Implied Decimal (e.g. 785000 = 78.5000); add leading zeros in front of string; value should always be >= 0. Space fill if no value reported
Transmittal	50	Vacation Balance	NUMBER (Implied Decimal)	12	665	676	N	Vacation balance from Active Payroll as of the Pay Period End Date. Implied Decimal (e.g. 785000 = 78.5000); add leading zeros in front of string; value should always be >= 0. Space fill if no value reported
Transmittal	51	Holiday Balance	NUMBER (Implied Decimal)	12	677	688	N	Holiday balance from Active Payroll as of the Pay Period End Date. Implied Decimal (e.g. 0= would still have a value of 0); value should always be >= 0. Space fill if no value reported
Transmittal	52	Gross Salary Amount	NUMBER (Currency)	11	689	699	Y	Contains 2 implied decimals (e.g. 1000 = 10.00) Total Salary (Salary + All Pensionable Pay Items); add leading zeros in front of string; negative sign in front of leading zeros

Transmittal	53	Earnable Salary Amount	NUMBER (Currency)	11	700	710	Y	Contains 2 implied decimals (e.g. 1000 = 10.00) Hourly Rate * 80; If PT, should = 0.00; add leading zeros in front of string; negative sign in front of leading zeros
Transmittal	54	Pensionable Salary Amount	NUMBER (Currency)	11	711	721	Y	Contains 2 implied decimals (e.g. 1000 = 10.00) Hourly Rate * actual hours worked; does not include pay items
Transmittal	55	Reported Total Pensionable Pay Items	NUMBER (Currency)	11	722	732	Y	Contains 2 implied decimals (e.g. 1000 = 10.00); include only Pensionable Pay Items ; add leading zeros in front of string; negative sign in front of leading zeros
Transmittal	56	Reported Total Earnable Pay Items	NUMBER (Currency)	11	733	743	Y	Contains 2 implied decimals (e.g. 1000 = 10.00); include only Earnable Pay Items; add leading zeros in front of string; negative sign in front of leading zeros
Transmittal	57	Scheduled Hours	NUMBER	8	744	751	Y	2 decimal places implied, e.g. 125 would represent 1 hour, 15 minutes; fill with leading zeros
Transmittal	58	Reported Hours	NUMBER (Implied Decimal)	8	752	759	Y	2 decimal places implied, e.g. 125 would represent 1 hour, 15 minutes; fill with leading zeros
Transmittal	59	Hourly Rate	NUMBER (Currency)	11	760	770	Y	Current Hourly Rate; contains 2 implied decimals (e.g. 1000 = 10.00); value should always be >= 0

Contributions				87	771	857		
Contributions	60	Reported Contrib Basis Date	DATE	8	771	778	Y	Formatted as YYYYMMDD. Contribution Date reported from Employer (will not be used to update V3)
Contributions	61	Reported Age at Entry	NUMBER	2	779	780	N	Age at Entry used by employer to determine EE contrib rate; integer value; space fill if left blank
Contributions	62	Employee Share	NUMBER (Currency)	11	781	791	Y	Employee Portion of the Contributions (EE Contrib minus ER.1 and ER .2) Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros; 0-fill if no contribution reported
Contributions	63	EE .2 ER Pickup	NUMBER (Currency)	11	792	802	Y	Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros; 0-fill if no contribution reported
Contributions	64	EE Rvs Pickup UAAL	NUMBER (Currency)	11	803	813	Y	EE Rvs Pickup of ER UAAL contributions; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros; 0-fill if no contribution reported
Contributions	65	EE Rvs Pickup ER Norm	NUMBER (Currency)	11	814	824	Y	EE Rvs Pickup of ER Normal contributions; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros; 0-fill if no contribution reported

Contributions	66	SCP Payment	NUMBER (Currency)	11	825	835	Y	SCP Payment; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; value may be positive or negative; 0-fill if no contribution reported
Contributions	67	Employer Share	NUMBER (Currency)	11	836	846	Y	Employer Portion of the Contributions Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros; 0-fill if no contribution reported
Contributions	68	EE .1 ER Pickup	NUMBER (Currency)	11	847	857	Y	Employer .1 Pickup Portion of the Contributions; Contains 2 implied decimals (e.g. 32500 = 325.00); add leading zeros in front of string; negative sign in front of leading zeros; 0-fill if no contribution reported
Pay Items				**240**	**858**	**1097**		
Pay Items	69	Pay Item 01 Code	VARCHAR2	5	858	862	Y *	Pay Items Code Table; add spaces after string. Required if pay item 01 amount is populated
Pay Items	70	Pay Item 01 Amount	NUMBER (Currency)	11	863	873	N	Amount associated with Pay Item 01; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros
Pay Items	71	Pay Item 02 Code	VARCHAR2	5	874	878	Y *	Pay Items Code Table; add spaces after string. Required if pay item 02 amount is populated

Pay Items	72	Pay Item 02 Amount	NUMBER (Currency)	11	879	889	N	Amount associated with Pay Item 02; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros
Pay Items	73	Pay Item 03 Code	VARCHAR2	5	890	894	Y *	Pay Items Code Table; add spaces after string. Required if pay item 03 amount is populated
Pay Items	74	Pay Item 03 Amount	NUMBER (Currency)	11	895	905	N	Amount associated with Pay Item 03; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros
Pay Items	75	Pay Item 04 Code	VARCHAR2	5	906	910	Y *	Pay Items Code Table; add spaces after string. Required if pay item 04 amount is populated
Pay Items	76	Pay Item 04 Amount	NUMBER (Currency)	11	911	921	N	Amount associated with Pay Item 04; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros
Pay Items	77	Pay Item 05 Code	VARCHAR2	5	922	926	Y *	Pay Items Code Table; add spaces after string. Required if pay item 05 amount is populated
Pay Items	78	Pay Item 05 Amount	NUMBER (Currency)	11	927	937	N	Amount associated with Pay Item 05; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros
Pay Items	79	Pay Item 06 Code	VARCHAR2	5	938	942	Y *	Pay Items Code Table; add spaces after string. Required if pay item 06 amount is populated

Pay Items	80	Pay Item 06 Amount	NUMBER (Currency)	11	943	953	N	Amount associated with Pay Item 06; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros
Pay Items	81	Pay Item 07 Code	VARCHAR2	5	954	958	Y *	Pay Items Code Table; add spaces after string. Required if pay item 07 amount is populated
Pay Items	82	Pay Item 07 Amount	NUMBER (Currency)	11	959	969	N	Amount associated with Pay Item 07; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros
Pay Items	83	Pay Item 08 Code	VARCHAR2	5	970	974	Y *	Pay Items Code Table; add spaces after string. Required if pay item 08 amount is populated
Pay Items	84	Pay Item 08 Amount	NUMBER (Currency)	11	975	985	N	Amount associated with Pay Item 08; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros
Pay Items	85	Pay Item 09 Code	VARCHAR2	5	986	990	Y *	Pay Items Code Table; add spaces after string. Required if pay item 09 amount is populated
Pay Items	86	Pay Item 09 Amount	NUMBER (Currency)	11	991	1001	N	Amount associated with Pay Item 09; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros
Pay Items	87	Pay Item 10 Code	VARCHAR2	5	1002	1006	Y *	Pay Items Code Table; add spaces after string. Required if pay item 10 amount is populated

Pay Items	88	Pay Item 10 Amount	NUMBER (Currency)	11	1007	1017	N	Amount associated with Pay Item 10; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros
Pay Items	89	Pay Item 11 Code	VARCHAR2	5	1018	1022	Y *	Pay Items Code Table; add spaces after string. Required if pay item 11 amount is populated
Pay Items	90	Pay Item 11 Amount	NUMBER (Currency)	11	1023	1033	N	Amount associated with Pay Item 11; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros
Pay Items	91	Pay Item 12 Code	VARCHAR2	5	1034	1038	Y *	Pay Items Code Table; add spaces after string. Required if pay item 12 amount is populated
Pay Items	92	Pay Item 12 Amount	NUMBER (Currency)	11	1039	1049	N	Amount associated with Pay Item 12; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros
Pay Items	93	Pay Item 13 Code	VARCHAR2	5	1050	1054	Y *	Pay Items Code Table; add spaces after string. Required if pay item 13 amount is populated
Pay Items	94	Pay Item 13 Amount	NUMBER (Currency)	11	1055	1065	N	Amount associated with Pay Item 13; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros
Pay Items	95	Pay Item 14 Code	VARCHAR2	5	1066	1070	Y *	Pay Items Code Table; add spaces after string. Required if pay item 14 amount is populated

Pay Items	96	Pay Item 14 Amount	NUMBER (Currency)	11	1071	1081	N	Amount associated with Pay Item 14; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros
Pay Items	97	Pay Item 15 Code	VARCHAR2	5	1082	1086	Y *	Pay Items Code Table; add spaces after string. Required if pay item 15 amount is populated
Pay Items	98	Pay Item 15 Amount	NUMBER (Currency)	11	1087	1097	N	Amount associated with Pay Item 15; Contains 2 implied decimals (e.g. 1000 = 10.00); add leading zeros in front of string; negative sign in front of leading zeros

Trailer Record Layout

Field	Field Name	Data Type	Length	Start Position	Stop Position	Required ?
1	Record Type	VARCHAR2	5	1	5	Y
2	Employer ID	VARCHAR2	3	6	8	Y
3	Employer	VARCHAR2	30	9	38	Y
4	Total Records	NUMBER	11	39	49	Y
5	Tot Employee Contribution	CURRENCY	11	50	60	Y

6	Tot Employer Contribution	CURRENCY	11	61	71	Y
7	Tot SCP Payment	CURRENCY	11	72	82	Y
8	Tot Receivable Amt	CURRENCY	11	83	93	Y

Appendix C – OCERS Actuarial Extract Data Request

The following is the most recent data request from Segal, OCERS external actuary vendor and demonstrates the files and information needed as part of the Actuary Extract Process

Orange County Employees Retirement System - Data Necessary for the December 31, 2024 Actuarial Valuation

Data files

Please note: We are requesting that census data information requested below be as of December 31, 2024.

Based on the data provided in last year's valuation, we assume that this year's data will be provided in two separate files.

1. The nonpayee file will include the following:

   a. Active members (including members on leave of absence)

   b. Deferred members

   c. Inactive members

It is our understanding that this nonpayee file will also include those members who were reported on the nonpayee file last year but changed status due to death, retirement, refund of contributions or deferred vested termination during the plan year.

2. The payee file will include the following:

   a. Retirees (service retirement and disability retirement)

   b. Beneficiaries and QDROs

   c. Retirees and beneficiaries who died during the plan year

Please include layouts for the above two files. In addition, please confirm that the above files would only include information through December 31, 2024. For instance, an active member who died after December 31, 2024 should still be reported in the data as active.

A. Data file layout

Required fields for each of the two files are specified below.

1. Nonpayee file (including leave of absence)

   1. Current or most current Rate Group

   2. Plan ID for the current or most current plan of membership

   3. Current or most current employer

   4. OCERS ID

   5. Status (e.g., Active, Inactive, Deferred)

   6. Name

   7. Date of birth

8. Gender

9. Date of entry

10. Entry age for determination of member's contribution rate

11. Date of separation

12. Date of death

13. Type of death

14. Full/part time code

15. Total employment service

16. Total benefit service

17. Total employee normal contributions (without interest)

18. Total employee COLA contributions (without interest)

19. Total employee service credit purchase contributions (without interest)

20. Interest on total employee contributions

21. Total gross salary

22. Total pensionable salary for a 12-month period

    a. Before adjustment to reflect a full-time equivalent employment

    b. After adjustment to reflect a full-time equivalent employment

23. Total earnable salary

24. Last reported gross salary

25. Last reported pensionable salary

26. Last reported earnable salary

27. Spouse's OCERS ID

28. Plan IDs 1 though 5

    a. Plan ID

    b. Benefit service broken down by plan

29. Reciprocity flag

30. Reciprocal service

31. Tier

32. Contribution basis date

Note: Item 2 and Item 3 of the Nonpayee file can be used to identify OCERS management employees.

2. Payee file

    1. Benefit type (e.g., Service Retirement, Disability, Continuance, Service Retirement with Outbound Reciprocity, Disability with Outbound Reciprocity)

2. Date of separation

3. Benefit effective date

4. Benefit termination date

5. Payment option

6. Continuance percentage

7. Pension benefit amount

8. Annuity benefit amount

9. Cost-of-living adjustment

10. STAR cost-of-living adjustment

11. DRO adjustments

12. OCERS ID

13. Name

14. Date of birth

15. Gender

16. Beneficiary name

17. Beneficiary date of birth

18. Beneficiary gender

19. Continuance percentage for retirees with beneficiaries eligible for 60% or 100% automatic continuance

20. Beneficiary's relationship to the retired member

21. Last Rate Group

22. Last plan ID

23. Years of service used in calculating retirement benefit

24. Final average compensation used in calculating retirement benefit

25. Current tier

26. Current employer code

27. Reason payee terminated (e.g., Death, Exceed Age Limit)

28. Associated member's OCERS ID (for beneficiary records)

29. Associated member's original date of retirement

30. Associated member's date of death for beneficiaries

B. Data elements requested for this valuation

Similar to last year's data request, we would like to request the following additional data for the December 31, 2024 valuation:

1. Final average salary information for all nonpayee records.

2. Full-time equivalent pensionable salary for all nonpayee records.

Other information needed for the valuation

C. Asset and financial information

1. Balance sheet, income statements and market value of assets for the System as of December 31, 2024.

2. Reconciliation of the change in non-valuation and valuation reserve accounts by member, active and retired categories during the 2024 plan year.

   a. Please note that the reconciliation should include benefit payments, contributions and expenses during the 2024 plan year.

   b. Please note that the reserve accounts should include interest allocation through December 31, 2024.

   c. Please also provide the balance in the County Investment Account, the balance in the OCSD Bookkeeping Account and the balance in the unclaimed member deposit account.

3. For members who are currently purchasing their service credits through installments, we need an amount indicating the past and the future payments made for such purchases as of December 31, 2024.

4. A list with the breakdown of employer and employee contributions made during the plan year for each Rate Group. Furthermore, we will need this information separately by employer for University of California Irvine Medical Center (UCI), California Department of Education (DOE), Orange County Vector Control District (OCVCD) and Cypress Recreation and Parks District (CRPD) along with the associated contribution payment date.

5. For any employers who made any additional UAAL payments during the plan year, please provide the payment amount and the associated payment date.

6. A list with the breakdown of benefit payments made during the plan year for each Rate Group. Furthermore, we will need this information separately by employer for UCI, DOE, OCVCD and CRPD.

7. The current asset allocation of the System's investment portfolio.

8. The target asset allocation of the System's investment portfolio. Please also provide detail as to future changes in the asset allocation that have been adopted by the Board and the date(s) that they will be implemented by the System.

9. The most recent asset allocation study performed for the System.

10. The capital market assumptions currently being utilized by the System's investment consultant (expected arithmetic rate of return, standard deviation and correlation matrix) for each class of investment held by the System and for the System's portfolio as a whole.

D. Salary increases

Dates and percentages of general salary increases which occurred in the past year for each of the various employee groups, and any increases agreed upon for the coming year(s).

E. Payoffs at the time of retirement

For members who retired during the last three years, please provide us with the final average salary before and after including the payoffs during the year of retirement.

F. Pending disabilities

Please provide a list of all the pending disabilities including the type of disability requested by the member (i.e., service or non-service). Please provide estimates of the percentage of disability applicants who are granted disability retirement on 1) first application; and 2) appeal (second application).

G. New service retirements and other terminations

Please identify all members who have requested a service retirement, withdrawal, etc., but have not been processed and reflected on the data files sent to us.

H. Recent plan changes

Please identify any other changes in benefits that have been agreed to by the employer and the members, or any change in Retirement Board provided benefits since the last valuation as of December 31, 2023.

I. Interest crediting policy and actuarial funding policy

Please provide a copy of the interest crediting/excess earnings policy and actuarial funding policy.

J. Additional information as required by GASB

Please provide the plan's pensionable pay for 2024 for each plan sponsor broken down by Rate Group. This information is necessary for preparing a schedule required by GASB.

K. Information related to OCVCD and CRPD

For CRPD and OCVCD members who are in non-retired status as of December 31, 2024, please provide the member's status with the Districts and their salaries for the 12-month period ending on December 31, 2024 that would be used by OCERS in determining the final average compensation. For CRPD and OCVCD members who are no longer active with the Districts, please provide either their final 1-year or final 3-year average compensation right before their termination with the Districts.

> *Appendix D – Current Documents, Forms and Images*

OCERS is providing lists of current documents, forms and images for reference only. It should not be assumed that the new system should replicate the legacy system.

Document and Image Counts by Year

Year	Document Count by year	Image Count by year
2015	19382	40906
2016	236819	38393
2017	277866	35921
2018	264137	42217
2019	282036	33399
2020	330154	30939
2021	308490	32017
2022	330056	40032

2023	331520	41055
2024	340059	34275

Current Documents produced by the legacy system

There are 212 documents currently generated from the system.

Document Subtype	Doc Shell Display Name
All Documents	Generic Letter Template
DRO	First Benefit Letter - DRO Payee
Death	Condolence to Beneficiary Active 0 to 5yrs
Court Order	Court Order
DRO	Alternate Payee Request for Info and Documents
DISBURSEMENT_EOB	Check Advice Pay Stub
DISBURSEMENT_EOB	EFT Advice Pay Stub
Tax Reporting	Doc shell for 1042-S Tax documents
Tax Reporting	Doc shell for 1099M Tax documents
Tax Reporting	Doc shell for 1099R Tax documents
Tax Reporting	Doc shell for W2 Tax documents
Retiree Payroll	Prenote or EFT Rejection Letter
Email Cover Letter	Email Cover Letter
Member Information Changes	Missing Affidavit Letter
Other	Annual STAR COLA Notice
Other	Reinstated Employee Payroll Information Request
EMPLOYER_SELF_SERVICE_EMAIL	Update Password Confirmation
EMPLOYER_SELF_SERVICE_EMAIL	Updated Email Address Confirmation
EMPLOYER_SELF_SERVICE_EMAIL	Updated Email Address Confirmation
EMPLOYER_SELF_SERVICE_EMAIL	Updated Password Confirmation
EMPLOYER_SELF_SERVICE_EMAIL	Updated Password Confirmation
EMPLOYER_SELF_SERVICE_EMAIL	Updated Security Question Confirmation
EMPLOYER_SELF_SERVICE_EMAIL	Updated Security Question Confirmation
EMPLOYER_SELF_SERVICE_EMAIL	Updated Security Questions Confirmation
1099R	1099R Letter
COLA	Decrease in COLA Letter
Disability	Board Results Letter
Disability	First Benefit Letter - Disability
Disbursements	Individual 415 Cap Analysis Reports
Member Account Adjustment	30 Year Stop Error Notification
Member Account Adjustment	30 Year Stop Notification
Member Account Adjustment	Member Refund
Member Account Adjustment	Standard Adjustment Letter to Member
Member Counseling	Member Opinion Card Cover Letter
Member Counseling	Request for Payroll Information Outside Agencies
Member Counseling	Retirement Appointment Confirmation
Member Information Changes	Address Change Confirmation
Member Information Changes	Address Change Request Form
Member Information Changes	Address Verification Request (with signature page)

Document Subtype	Doc Shell Display Name
Member Information Changes	Authorization For Disclosure of OCERS Records
Member Information Changes	Beneficiary Change
Member Information Changes	Beneficiary Change Confirmation
Member Information Changes	Beneficiary Change Request for Additional Info
Member Information Changes	Bookmark Test
Member Information Changes	BookmarkTest-Signature
Member Information Changes	Direct Deposit
Member Information Changes	Ineligible to Chg Bene Due to Pending DRO
Member Information Changes	Ineligible to Chg Bene Due to Retirement Election
Member Information Changes	Initiate Retirement Application
Member Information Changes	Interstate Tax Change Confirmation Letter
Member Information Changes	Mandatory Distribution Letter
Member Information Changes	Mandatory Distribution Letter Reminder
Member Information Changes	Member PIN Letter
Member Information Changes	MSS Address Change Confirmation Letter
Member Information Changes	MSS EFT Change Confirmation Letter
Member Information Changes	MSS Previous Address Confirmation Letter
Member Information Changes	MSS Registration Letter
Member Information Changes	MSS SCP Confirmation Letter
Member Information Changes	MSS Tax Withholding Change Confirmation Letter
Member Information Changes	OCERS Special Durable Power Of Attorney
Member Information Changes	Password Confirmation
Member Information Changes	Power of Attorney Established
Member Information Changes	Power of Attorney Not Established
Member Information Changes	Rehired Retiree Board Decision
Member Information Changes	Request for Member to Update Beneficiary
Member Information Changes	Request to Purchase Service
Member Information Changes	Retirement Application Submission Confirmation
Member Information Changes	Tax Withholding Information
New Member Enrollment	MEMBER AFFIDAVIT
New Member Enrollment	Member Information Incomplete
New Member Enrollment	Welcome Letter Packet
Reciprocity	1004 Intersystem Membership Advice Form
Reciprocity	Contribution Basis Date Change Notification
Reciprocity	Incoming Reciprocity Established Notification
Reciprocity	Notice of Change in Member Account NOCIMA
Reciprocity	Outgoing Reciprocity Established Notification
Reciprocity	Reciprocity Broken Letter
Reciprocity	Reciprocity Not Established Notification
Retiree Payroll	Benefit Recalculation Notice
Retiree Payroll	Disability Benefit Recalculation Notice
Retiree Payroll	First Benefit Letter - Member with DRO
Retiree Payroll	Benefit Recalculation Notice - Alameda
Retiree Payroll	Benefit Recalc Confirm Notice-Alameda-DRO-Survivor
Retiree Payroll	Benefit Recalculation Notice - Alameda II
Retirement	Award Letter
Retirement	First Benefit Letter - Reciprocal

Document Subtype	Doc Shell Display Name
Retirement	Notice of Retirement or Death
Retirement	Provide FAS to Reciprocal System
Retirement	Reciprocity Info Request for Retiring Member
Retirement	Retirement Application
Seminars	Seminar/Workshop Enrollment Confirmation Letter
Seminars	Seminar/Workshop Notification Letter
Seminars	Seminar/Workshop Reminder Letter
Service Credit Purchase	Certification of Public Service (COPS)
Service Credit Purchase	Certification of Public Service (COPS) Re-Deposits
Service Credit Purchase	Confirmation of Request to Purchase Service Credit
Service Credit Purchase	Cost Notification Letter - Military
Service Credit Purchase	Excluded Service Information Request
Service Credit Purchase	Medical Leave of Absence Information Request
Service Credit Purchase	Military Leave Information Request
Service Credit Purchase	Multiple Previous Service Periods Eligibility
Service Credit Purchase	Not Eligible to Purchase Excluded Service
Service Credit Purchase	Not Eligible to Purchase Public Service
Service Credit Purchase	Not Eligible to Purchase Service Notification
Service Credit Purchase	Retirement Salary Request Form
Service Credit Purchase	Rollover Acceptance
Service Credit Purchase	SCP Cancellation Notification Letter
Service Credit Purchase	SCP Completion Notification Paid in Full
Service Credit Purchase	SCP Cost Notification
Service Credit Purchase	SCP Cost Notification - Underpd Contributions
Service Credit Purchase	SCP Delinquent Payment Letter
Service Credit Purchase	SCP Request Confirmation Letter
Service Credit Purchase	Workers Compensation Letter to Employer
Service Credit Purchase	Workers OLD Compensation Letter to Employer
Termination	Benefit Forfeit Letter
Termination	Eligible for Retirement Letter
Termination	Eligible for Retirement Letter
Termination	Individual 90 Day Letter
Termination	Notice of Termination
Termination	Terminating Member Options Notification
Termination	Withdrawn Funds from OCERS
MEMBER_SELF_SERVICE_EMAIL	Address Change Confirmation
MEMBER_SELF_SERVICE_EMAIL	Direct Deposit Change Confirmation
MEMBER_SELF_SERVICE_EMAIL	EForm Submit Confirmation
MEMBER_SELF_SERVICE_EMAIL	myOCERS Registration Confirmation
MEMBER_SELF_SERVICE_EMAIL	Purchase Service Request Confirmation
MEMBER_SELF_SERVICE_EMAIL	Request Username
MEMBER_SELF_SERVICE_EMAIL	Retirement Application Submitted
MEMBER_SELF_SERVICE_EMAIL	Tax Withholding Change Confirmation
MEMBER_SELF_SERVICE_EMAIL	Updated Beneficiary Change
MEMBER_SELF_SERVICE_EMAIL	Updated Email Address Confirmation
MEMBER_SELF_SERVICE_EMAIL	Updated Email Address Confirmation
MEMBER_SELF_SERVICE_EMAIL	Updated Password Confirmation

Document Subtype	Doc Shell Display Name
MEMBER_SELF_SERVICE_EMAIL	Updated Password Confirmation
MEMBER_SELF_SERVICE_EMAIL	Updated Password Confirmation
MEMBER_SELF_SERVICE_EMAIL	Updated Security Questions Confirmation
MEMBER_SELF_SERVICE_EMAIL	Updated Security Questions Confirmation
Others	Test OI Org Document
Other	Fax Template_Generic
Death	Burial Benefits
Death	Death Benefit Election B
Death	Death Benefit Option Notification
Death	Death Certificate Request Only
Death	Request for Beneficiary Information Letter
Death	Request for Docs - Burial Benefit Only
Death	Surviving Spouse Request for Docs
Death	Surviving Spouse Request for Docs - Overpayment
Disability	Appeal Decision
Disability	Board Release
Disability	Board Results Letter - D SCD G NSCD EFD Final
Disability	Board Results Letter - Deny Ammended Hearing
Disability	Board Results Letter - Deny Both
Disability	Board Results Letter - Deny Ear Eff Date on Appeal
Disability	Board Results Letter - Deny Earlier Effective Date
Disability	Board Results Letter - Deny SCD/NSCD/Both
Disability	Board Results Letter - Dismiss With Prejudice
Disability	Board Results Letter - Dismiss Without Prejudice
Disability	Board Results Letter - Grant
Disability	Board Results Letter - Grant C1 Deny C2
Disability	Board Results Letter - Grant Earlier EFD
Disability	Board Results Letter - Grant NSCD Deny SCD
Disability	Board Results Letter - Grant NSCD/SCD
Disability	Board Results Letter - Grant Writ
Disability	Board Results Letter - Notif of Final Admin Dec
Disability	Board Results Letter - Refer Back to HO or Staff
Disability	Board Results Letter -Referred Back to staff
Disability	Board Results Letter -Referred to Hearing Officer
Disability	Board Results Letter -Reinstate Job
Disability	BOE Appointment Letter – Physician
Disability	BOE Report Letter
Disability	Disability Appl Confirm Letter
Disability	Disability Application Cover Letter
Disability	Disability Estimate
Disability	Disability Hearing Procedures Document
Disability	Disability Rtmt Eligibility and Appl. Ins.
Disability	Hearing Officer Assignment Letter- HO
Disability	Hearing Officer Assignment Letter-Member
Disability	Hearing Officer Reassignment Letter
Disability	Next Board Letter
Disability	Next Board Letter Attachment

Document Subtype	Doc Shell Display Name
Disability	Pre-Med Letter with Index
DRO	CourtOrderTestDoc
DRO	DRO Estimate Document
Estimate	Benefit Estimate
Other	415(b) Electronic Deposit
Retiree Payroll	415(m) Notification Letter
Retiree Payroll	Benefit Overpayment Notification
Retiree Payroll	Benefit Suspension Termination Notification
Retiree Payroll	Cert of Full Time Student Status Form
Retiree Payroll	Certification of Full Time Student Rqmt Ltr
Retiree Payroll	International Payroll Certification
Retiree Payroll	Annual Payroll Certification
Retiree Payroll	Change in Federal or State Tax Table Notification
Retiree Payroll	Lost Check Declaration
Retiree Payroll	Mandatory EFT and Remittance Advice Policy
Retiree Payroll	Minor Benefit Termination Notice
Retiree Payroll	Request for Repayment
Retiree Payroll	Stale Dated Check
Retiree Payroll	Tax Withholding Notice Nonresident Alien
Retiree Payroll	Tax Withholding Notice US Citizen Living Abroad
Retirement	Appeal Confirmation
Retirement	First Benefit Letter
Retirement	Request for Special Determination
Retirement	Retirement Option 1 Election Confirmation
Retirement	Retirement Option 2 Election Confirmation
Retirement	Retirement Option 3 Election Confirmation
Retirement	Retirement Option 4 Election Confirmation
Retirement	Retirement Option 4 Information Request Form
Termination	Final Refund Letter to Reciprocal System
Termination	Withdrawal Req Denial Due to Pending Legal Docs
Termination	Withdrawal Request Denial due to Reciprocity
Secure Message	Preview Message

Current OCERS forms

Member

- Beneficiary Change Form

- Change of Address Form

- Request to Defer Retirement Form

- Request to Purchase Service Form

- Request to Withdraw Contributions/ Elect Rollover / Direct Deposit Form

- Payee's Authorization for Direct Deposit Form

- Payee's Tax Withholding Form

- Retiree's United Way Pledge Form

- Service Purchase/ Service Redeposit Contract Form

Employer

- Elected Official Member Affidavit

- Employee Termination / Transfer Notice

- Employer's Concurrence - Waiver of Membership

- Employer Pay Item Request Form

- IRC Section 415 Notice for 2022

- Member Affidavit

- PEPRA Member Affidavit

- Member Affidavit in Reciprocal System

- Retirement Plan Election Member Affidavit

- Retirement Plan Election City of SJC Member Affidavit

- Social Security SSA-1945

- Waiver of Membership

Other

- Initiate Retirement Application

- Death Benefit Election B

Current OCERS forms

IMAGE_TYPE_DISPLAY_NAME	IMAGE_TYPE_DESCRIPTION
Saved Reports	This is the default doc_image_type where persistent reports go.
Retirement Plan Election	Retirement Plan Election
Benefit Estimate-Deferred	Benefit Estimate-Deferred
Benefit Setup Worksheet	Benefit Setup Worksheet
415 Documentation	415 Documentation
Board Release	Board Release
Death Certificate	Death Certificate
Death Correspondence	Death Correspondence
Marriage Certificate	Marriage Certificate
Member Affidavit	Member Affidavit
Person Photo Image	Person Photo Image
Disability Application	Disability Application
Update Contacts form	Update Contacts form
Outbound Reciprocity Verif	Outbound Reciprocity Verification
Court Order Image	Court Order Image
Attachment	Default Image Type for ImageUploadFile popup if USE_ATTACHMENT_IMAGE_TYPE_FOR_ADD_IMAGE is Y

IMAGE_TYPE_DISPLAY_NAME	IMAGE_TYPE_DESCRIPTION
Notice of Adverse Interest	Notice of Adverse Interest
Request for Withdrawal form	Request for Withdrawal form
Tax Withholding Request	Tax Withholding Request
Retirement Application	Retirement Application
Active Death Form A	Active Death Form A
Active Death Form B	Active Death Form B
Attorney Designation	Attorney Designation
Birth Certificate	Birth Certificate
Retirement Refund Authorization	Retirement Refund Authorization
Member Change Form	Member Change Form
Notice Of Retirement	Notice Of Retirement
SCP Request Form	SCP Request Form
SCP Signed Contract	SCP Signed Contract
Termination Notice-DONOTUSE	Termination Notice
Welcome Letter	Welcome Letter
Withdrawal Form	Withdrawal Form
Disability Information Release	Disability Information Release
OCERS Legal Memo	OCERS Legal Memo
Other Proof Of Age	Other Proof Of Age
Legal_Confidential_Correspondence	Legal/Confidential Correspondence
Member Statement	Member Statement
Paycheck Stubs	Paycheck Stubs
Payroll Information	Payroll Information
Power Of Attorney	Power Of Attorney
Prenote	Prenote
Reciprocity Documentation	Reciprocity Documentation
Reciprocity Verification Form	Reciprocity Verification Form
Reciprocity Salary Request	Reciprocity Salary Request
Inbound Reciprocity Verification	Inbound Reciprocity Verification
Request To Defer Form	Request To Defer Form
Retirement Application Addendum	Retirement Application Addendum
SCP Calculations	SCP Calculations
SCP Correspondence	SCP Correspondence
New Pay Item Request	New Pay Item Request
IRC Section 415 Notice	IRC Section 415 Notice
SSA 1945	SSA 1945
MOU	MOU
Board Resolutions	Board Resolutions
Reports	Reports
Signature	Signature
Benefit Calculation	Benefit Calculation
BOE Report	BOE Report
Death Notice	Death Notice
Death WorkSheet	Death WorkSheet
Deduction Election Form	Deduction Election Form
Direct Deposit Request	Direct Deposit Request
Direct Deposit Request Attachment to Retapp	Direct Deposit Request Attachment to Retapp

IMAGE_TYPE_DISPLAY_NAME	IMAGE_TYPE_DESCRIPTION
Disability Correspondence	Disability Correspondence
Disability Spreadsheets	Disability Spreadsheets
Misc Correspondence	Misc Correspondence
Certificate of Domestic Partnership	Certificate of Domestic Partnership
DRO	DRO
Employee Statement	Employee Statement
Employer Statement	Employer Statement
Trust	Trust
Full-Time Student Status	Full-Time Student Status
Garnishment And Levy	Garnishment And Levy
IRS Levy	IRS Levy
Hearing Officer Findings	Hearing Officer Findings
Information Release	Information Release
Joinders	Joinders
Physician Statement	Physician Statement
Authorization for Disclosure	Authorization for Disclosure
Agreements	Agreements
OPEB	OPEB
Contracts	Contracts
Address Changes	Address Changes
Appeals	Appeals
Beneficiary Change	Beneficiary Change
Retirement Application Import	Retirement Application Import
Safety Member Assignment Details	Safety Member Assignment Details
Legal_Correspondence	Legal Correspondence
Income Verification	Income Verification
Family Trust	Family Trust
Termination Notice	Termination Notice
Member Affidavit Addm	Member Affidavit Addendum
Member Affidavit Plan Election	Member Affidavit Plan Election
RECIPROCITY_SELF_CERT	Reciprocity Self Certification Form
W4P Form	W4P Form
W4R Form	W4R Form
TRANSFER	Transfer
Tax Withholding Request Import	Tax Withholding Request Import
Alameda Election Form	Alameda Election Form

Appendix E – Current Reports

OCERS is providing a list of current reports for reference only. It should not be assumed that the new system should replicate the legacy system.

Report Counts from the legacy system

Report	Count	Frequency
Change in Age at Entry/Plan Rebill Report/Rate	5902	As Needed
Member Contribution Discrepancy Report	5677	Bi Weekly
Employment Transmittal Discrepancy Report	5645	Bi Weekly
Monthly Premiums and Grants Report	2586	Monthly
Medical Ded Import Error Report	2096	Monthly
Transmittal Import Error Report	2078	Bi Weekly
Transmittal Exceptions Report	1951	Bi Weekly
Monthly Payroll Trial Detail Report	1705	Monthly
Transmittal Missing Member Report	1147	Bi Weekly
Tax and EFT changes on MSS Report	741	Weekly
401(a)(17)Comp 85% Threshold Report	725	As Needed
Member Contribution Summary Report	694	Bi Weekly
30 Year Membership Report	420	As Needed
Disbursement Schedules Detail Report	389	Monthly
WRE Export	352	Bi Weekly
Disbursement Schedules Summary Report	316	Monthly
415(m) Replacement Bnft Report	209	As Needed
Account Balance Report	159	As Needed
Age at Entry Rebill Report - Rate Change	150	As Needed
Payroll Control Totals & Change Summary Report	146	Monthly
Benefit Payments by Rate Group Report	104	Annual
Personal 415 Limit Calculation Request to Actuary Report	89	As Needed
Previous Cycle Comparison Report - By Gross	87	Monthly
Previous Cycle Comparison Report - By Net	86	Monthly
Disability Case Report	82	As Needed
415(b) Payee Soft Screening Report	81	Annual
415(b) Payee Hard Screening Report	70	Annual
Benefit Recoupment Report	67	As Needed
IRS 945 Federal Tax Report	59	As Needed
Recalc Detail Report	52	As Needed
Interest Posting	47	As Needed
EE / ER Contributions by Rate Group Report	44	Bi Weekly
Overpayment Activity Report	40	As Needed
Open Service Credit Contracts Report	24	As Needed
Participant Account Transaction	19	As Needed
Death Board Report	17	Monthly
EE & ER Applied Payments by Periods Report	14	Bi Weekly
Standard Import Report	10	n/a

Report	Count	Frequency
Various CAFR Reports	10	Annual
Transmittal Import Audit Report	7	Bi Weekly
Query Report	4	n/a
Tax Wiring Report	4	n/a
1099-R	2	n/a
Previous Salary Validation Report	2	n/a
Pending SCP Payoff Report	1	Annual
Grand Total	**34110**	

Reports generated by MS Power BI

MS Report Name
0030-0000-R0001 - Payee Age List Report
0030-0000-R0002 - Deferred Members Over 72
0030-0000-R0004 - Retiree Birthdays
0030-0000-R0005 - Retired Members Nearing Age 100
0030-0000-R0006 - Deferred Members Age 70
0030-0000-R0007 - Deferred Members Age 73
0030-0000-R0008 - Deferred Members Age 73 Plus
0030-0020-R0023 - Personal 415 Limit
0030-0020-R0032 - 415 Pay Stream versa Regular Pay Stream Diff
0030-0260-R0001 - COLA Validation
0030-0390-R0001 - Members with Pending Part Account
0030-0390-R0006 - Duplicate SSN or OCERS ID
0030-0390-R0007 - Member Contract Missing Stop Date
0030-0390-R0008 - Deceased with Invalid Status
0030-0390-R0009 - Deceased with Missing Death Date
0030-0390-R0010 - Name Contains Comma
0030-0390-R0011 - Retirees with Option UM-OP2-OP3 and No Beneficiary
0030-0390-R0018 - Status Audit History Mismatch
0030-0390-R0018 - Status Audit History Mismatch Drilldown
0030-0650-R0001 - Image Counts Over Time
0030-0800-R0022 - SCD Retirees With No 1099
0030-0820-R0022 - EFT with No Image Scanned
0030-0990-R0001 - Pay Items Summary Report
0030-0990-R0001a - Pay Items Summary Report – Drilldown
0030-0990-R0023 - Pay Items Setup
0030-1250-R0001 - Pension App Under Review
0030-1250-R0005 - Retiree Demographics

MS Report Name
0030-1250-R0023 - Pension Applications
0030-1460-R0022 - Member with termination doc
0030-1460-R0037 - Withdrawal Transactions by Team Member
0030-1490-R0004 - PG Transmittals Query
0030-1540-R0001 - Member Status from Retired to Deferred
0030-1540-R0025 - Member Different Status Same Effective Date
0030-1570-R0001 - Alameda Refund Election Form Reconciliation Report
0030-1570-R0002 - V3 Workflows By Type
0030-1570-R0002a - V3 Workflows By Type - Drilldown
0030-1630-R0002 - Death With Payment Stream
0030-1630-R0003 - Deceased members survivors cola bank diff
0030-1630-R0004 - Deceased members survivors cola not 60pct
0030-1630-R0005 - Deceased members survivors star not 60pct
0030-1630-R0006 - DRO - Use Member Address Flag
0030-1630-R0007 - Init Post Tax Bal No Use Simplified
0030-1630-R0008 - Payees who are deceased
0030-1630-R0009 - Pension Effective Date Less than or equal Separation Date
0030-1630-R0010 - Retired members FAS USED not equal OCERS FAS
0030-1630-R0011 - Retired Members No Unmodifed Option
0030-1630-R0012 - Retired members with incorrect status
0030-1630-R0013 - Retired Term Members with ben svc balance acct
0030-1630-R0014 - Retired-Disabled-Term members member contract no stop date
0030-1630-R0015 - Retired-Disabled-Term members with contibution not zero
0030-1630-R0016 - Retired-Disabled-Term members with pending part acct
0030-1630-R0017 - SCD retirees who have no Tax Free Amount
0030-1630-R0018 - SCD retirees with COLA no Excludable COLA
0030-1630-R0019 - Single No IRS Single Life flag
0030-1630-R0020 - Validation Summary
0030-1630-R0021 - Active Deferred With DRO No Court order
0030-1630-R0023 - Tax and EFT Changes on MSS
0030-1630-R0024 - Data Validation Summary
0030-1630-R0025 - Active members without recent transmittal
0030-1630-R0025 - Retiree with Part time FAS record
0030-1630-R0026 - Deceased Retiree No burial No survivor
0030-1630-R0026 - Payees with CA witholding but not CA residence
0030-1630-R0027 - Deceased Retiree w burial No survivor
0030-1630-R0028 - Deceased Retiree w deceased survivor No burial
0030-1630-R0029 - Deceased Retiree w inpay survivor No burial

MS Report Name
0030-1630-R0030 - Deceased Member No retire No refund
0030-1630-R0031 - Retired-Term-Members with recent address change
0030-1630-R0032 - Part time Active and Deferred members
0030-1630-R0033 - Full time Active and Deferred members with less than three yos
0030-1630-R0034 - Retired members with part time contract
0030-1630-R0035 - Retired members with less than three yos
0030-1630-R0036 - Members Who Have Verified Reciprocity Contracts with No Service Credit
0030-1630-R0038 - Members Who Have Calc YTD Comp Flag Checked
Data Validation Dashboard
Members and Payees Dashboard
myOCERS Dashboard
Payroll Log Errors Dashboard
Transaction Reporting Dashboard
Transmittals Dashboard
Payroll Log Dashboard
0030-0390-R0002 - Name Contains Comma
0030-0990-R0002 - Pay Items Setup
0030-0990-R0003 - Members Who Have Not Been Granted Interest
0030-1490-R0001 - Transmittal Exception Report
0030-1490-R0001a - Transmittal Exception Report - DrillDown
0030-1490-R0002 - PG Transmittals Query
0030-1490-R0003 - Members Missing from Transmittals Report
0030-1030-R0002 - Monthly New Retirees
0030-1030-R0003 - Monthly Death Notices
0030-1030-R0004 - Retirement Applications Report
0030-1030-R0005 - Payroll Logs with Pending SCP
0030-1030-R0006 - Payroll Log Error Report by Assigned RPS
0030-1030-R0006 - Payroll Log Error Report by Assigned RPS - Planet Tech Only
0030-1200-R0001 - Missing Reciprocity Records
0030-1320-R0004 - QA SCP Log with Payroll Log Month and Year
0040-0990-R0001 - Sheriff Timecard Details Report

Validation Reports

MS Report Name
0030-0005-R0002 - Duplicate SSN or OCERS ID

MS Report Name
0030-0005-R0004 - Deceased with Invalid Status
0030-0005-R0005 - Deceased with Missing Death Date
0030-0005-R0006 - Status Audit History Mismatch
0030-0005-R0007 - SCD Retirees With No 1099
0030-0005-R0008 - Member Status Changed from Retired to Deferred
0030-0005-R0009 - Death with Payment Stream
0030-0005-R0010 - Deceased Members Survivors COLA Bank Difference
0030-0005-R0011 - Deceased Members Survivors COLA Not 60 Percent
0030-0005-R0012 - Deceased Members Survivors STAR Not 60 Percent
0030-0005-R0013 - Payees Who Are Deceased
0030-0005-R0014 - Pension Effective Date Less Than or Equal To Separation Date
0030-0005-R0015 - Retired Members FAS USED Not Equal To OCERS FAS
0030-0005-R0016 - Retired Members with Incorrect Status
0030-0005-R0017 - Retired and Terminated Members with Benefit Service Balance Account
0030-0005-R0018 - Retired-Disabled-Terminated Members with Member Contract without Stop Date
0030-0005-R0019 - Retired-Disabled-Terminated Members with Contribution not Zero
0030-0005-R0020 - Retired-Disabled-Terminated Members with a Pending Part Account
0030-0005-R0021 - SCD Retirees Who Have No Tax Free Amount
0030-0005-R0022 - SCD Retirees with COLA and No Excludable COLA
0030-0005-R0023 - Active or Deferred with DRO with No Court Order
0030-0005-R0024 - Tax and EFT Changes on MSS
0030-0005-R0025 - Retirees with Part-Time FAS Record
0030-0005-R0026 - Payees with CA Withholding but not CA Residence
0030-0005-R0027 - Members Who Have Verified Reciprocity Contracts with No Service Credit

Finance Reports

Finance Report Name
0040-0040-R0008 - Manual Disbursements
0040-0600-R0001 - Disbursement Variance
0040-0600-R0002 - Disbursement Variance Detail
0040-0600-R0003 - DE9C Missing
0040-0600-R0005 - DE9C Disb Reg Comparison
0040-0600-R0006 - Disbursement Register
0040-1020-R0001 - Benefit Payments
0040-1020-R0002 - Disbursement By Rate Group Detail
0040-1490-R0007 - Contributions By Rate Group
0040-1630-R0001 - Payees With No 1099 Detail

Finance Report Name
0040-1630-R0002 - Payees With No 1099 Unique ID
0040-0010-R0001 - 1099 Extract Report
0040-0340-R0001 - Monthly Payee Health Medicare Premiums Summary
0040-0340-R0002 - Monthly Payee Health Medicare Premiums By Carrier
0040-0340-R0003 - Monthly Payee Health Medicare Premiums and Deductions
0040-0340-R0007 - Health Grants and Adjustments By Employers
0040-0340-R0008 - Monthly Payee Health Medicare Premiums - Raw Data
0040-0340-R0009 - Payroll Control Total Discrepancy Report

Annual Comprehensive Financial Report (ACFR) Reports

ACFR Report
0040-0200-R0001 - Non-Payee - Schedule of Active and Deferred Members
0040-0200-R0002 - Members and Payees - Vested and Non-Vested
0040-0200-R0003 - Payee - Schedule of Beneficiaries Receiving a Pension
0040-0200-R0004 - Non-Payee - Active Members by Rate Group
0040-0200-R0005 - Payee - New and Removed Payees
0040-0200-R0006 - Payee - Schedule of Average Monthly Pension Check for General and Safety
0040-0200-R0007 - Payee - Schedule of Average Pension Benefit Payments by Years of Service
0040-0200-R0008 - Payee - Schedule of Pension Benefit Recipients by Payee Type
0040-0200-R0009 - Payee - Schedule of Pension Benefit Recipients by Option Selected
0040-0200-R0010 - Payee - Schedule of Pension Benefit Recipients by Benefit Type
0040-0200-R0011 - Payee - Schedule of Average Retirement Age for General and Safety
0040-0200-R0012 - Payee - Schedule of Average Years of Service at Retirement
0040-0200-R0013 - Non-Payee - Schedule of Participating Employers Pension Plan
0040-0200-R0014 - Members and Payees - Schedule of Expenses by Benefit Account and Refund Type
0040-0200-R0015 - State Controller - Members and Payees by Rate Group
0040-0200-R0016 - State Controller - Members and Payees by Region
0040-0200-R0017 - State Controller - Payee - Disability Payments
0040-0200-R0018 - OCERS Membership
0040-0200-R0019 - Payee - Benefit Expenses by Type

Actuarial Reports (See Appendix C for more detail)

Report Name
0040-0040-R0008 - Reported Salary by Rate Group and Employer
0040-0040-R0010 - Member Count By Plan Sponsor and Status
0040-0040-R0011 - Benefit Recipients by Rategroup
0040-0040-R0012 - EE ER Contribution by Rategroup
0040-0040-R0013 - FTE by Employer and Rategroup

Report Name
A1_NonPayee_ExtractFile
A2_Payee_ExtractFile
A3-AE Compendium Reports
B1_FAS for Non Payees
B2_FTE_Calculation_and_Comparison (Active & Deferred Member Salary (earnable, gross and pensionable salary) and total pensionable pay items
B3_OCERSMgmtStaff
C1_SystemAssets
C2_Reconciliation of Reserve Accounts
C3_SCP Installment Payments
C4_Contribution Payments
C5_Additional_UAAL_Payments
C6_Benefit Payments
C7_Current Asset allocation of Investment Portfolio
C8_Target Asset allocation of Investment Portfolio
C9_Asset allocation study
C10_Current Capital Market assumptions
D_Salary Increases
E_Payoffs at Retirement
F_Pending Disabilities
G_New Service Retirements and other Terminations
H_Recent Plan Change and other notable items
I_Interest Crediting Policy
J_Additional Information as required by GASB
K_Closed_Employer_Information - Include breakdown of benefit payments and contributions
L_Benefit Continuancy Eligibility
M_COLA-StarCola
N_OCSD_Balance
O_Members With DROs
P - Alameda Information
Z_Updates_Adjustments
0070-0890-R0001 - Actuarial Validation Summary
0070-0890-R0002 - Actuarial Validation Detail
0070-0890-R0004 - Error Log

OCERS by the Numbers Reports

OBTN Report Name
0040-0890-R0001 - OCERS Pension Quick Facts
0040-0890-R0002 - OCERS Demographics

OBTN Report Name
0040-0890-R0003 - Non-Payee - Count of Active Members by Status
0040-0890-R0004 - Non-Payee - Count of Active Members by Plans and by Employers
0040-0890-R0005 - Non-Payee - Average Entry Age of Active Members With and Without Reciprocity by Plan
0040-0890-R0006 - Non-Payee - Count of Active Members Eligible to Retire by Age Groups
0040-0890-R0007 - Non-Payee - Count of Active Members Eligible to Retire by Employers
0040-0890-R0008 - Non-Payee - Count of Deferred Members by Status
0040-0890-R0009 - Non-Payee - Count of Deferred Members by Plans and by Employers
0040-0890-R0010 - Non-Payee - Count Of Deferred Members Eligible To Retire By Age Groups
0040-0890-R0011 - Non-Payee - Count Of Deferred Members Eligible To Retire By Employers
0040-0890-R0012 - Payee - Retiree and Beneficiary Demographics
0040-0890-R0013 - Payee - Average Years Into Retirement of Currently Retired Members
0040-0890-R0014 - Payee - Average Age at Retirement by Employer and Benefit Type
0040-0890-R0015 - Payee - Average Years of Service at Retirement by Employer and Benefit Type
0040-0890-R0016 - Payee - Average Age of All Retirees by Employer and Benefit Type
0040-0890-R0016 - Payee - Average Age of All Retirees by Employer and Benefit Type_new
0040-0890-R0017 - Payee - Benefit Recipients by Employers and Plans
0040-0890-R0018 - Payee - Benefit Recipients by Benefit Types
0040-0890-R0019 - Payee - Benefit Recipients by Payment Options
0040-0890-R0020 - Payee - Number of New Payees by Calendar Year
0040-0890-R0021 - Payee - Payee Residence by Region and State
0040-0890-R0022 - Benefits - Average Benefit for All General and Safety Retirees and Payees
0040-0890-R0023 - Benefits - Average Benefit for General and Safety Members with a Service Retirement
0040-0890-R0024 - Benefits - Schedule of Average Monthly Pension Benefit Payments by Years of Service
0040-0890-R0025 - Benefits - Schedule of Median Monthly Pension Benefit Payments by Years of Service
0040-0890-R0026 - Benefits - Schedule of Monthly Pension Benefit for All Retirees
0040-0890-R0027 - Non-Payee - Count of Members by PEPRA vs Non-PEPRA

Other Reports

Report Name
0015-1190-R0002 - OCERS Years of Service Mailing List
0015-1190-R0001 - At Your Service Newsletter Mailing List
0010-0800-R0001 - Retired Members Turning Age 100
0010-0800-R0002 - New Retirees to Survey
0010-0800-R0003 - Member Address Look-Up by Last Name
0030-0000-R0001 - GIACT for SFTP

Report Name
0070-0180-R0001 - BC-DR Non-Payees Mailing List
0070-0180-R0002 - BC-DR Payees Mailing List
0070-0650-R0001 - Images in V3 by OCERS ID
0070-0920-R0001 - Oracle Tablespace Health Information Report
0070-0920-R0002 - V3 Database Metrics Report
0070-1190-R0001 - Non-Payee Mailing List
0070-1190-R0002 - Payee Mailing List
0070-1190-R0003 - Retired Member Election Mailing List
0070-1190-R0004 - General and Safety Member Board Election Mailing List
0070-1190-R0005 - At Your Service Newsletter Mailing List
0070-1190-R0006 - Annual County Retiree Medical Open Enrollment Address Comparison List
0070-1190-R0007 - Alameda Affected Members Mailing List
0070-1190-R0008 - REAOC Payees Mailing List
0070-1190-R0009 - Welcome Letter List
0070-1190-R0010 - Deferred Members List
0070-1600-R0001 - ESS PSS User Accounts Report
0080-0120-R0002 - OCERS FAS vs. FAS USED Report
0080-0120-R0003 - Manual Adjustment Part Account Entry Report
0080-0120-R0004 - EFT Changes Within Specified Time
0080-0120-R0005 - List of Login Discrepancies from the Member Portal
0080-0120-R0006 - Management Action Plan (MAP) Aging Report
0080-1490-R0001a - Transmittal Random Sample Report
0080-1490-R0001b - Transmittal Random Sample Report - Retired Members Only

Appendix F – Employer Information (Plans, Rate Groups, Pay Schedules)

OCERS Employers

Employer Name	Employer Code	Active/Closed	Active Member Count
Orange County	101	Active	17450
O.C. Cemetery District	102	Active	25
O.C. Law Library	104	Active	14
O.C. Vector Control	104	Closed	
O.C Retirement System	105	Active	120
O.C. Fire Authority	106	Active	1585
Cypress Recreation & Parks	107	Closed	
Department of Education	108	Closed	
Transportation Corridor Agency	109	Active	
City of San Juan Capistrano	110	Active	61
O.C. Sanitation District	111	Active	618
O.C. Transportation Authority	112	Active	1334
U.C.I. (Bi-weekly)	113	Closed	
U.C.I. (Monthly)	114	Closed	
Capistrano Beach Sanitary Dist	115	Closed	
O.C. Children & Families Commission	118	Active	16
Local Agency Formation Commission	119	Active	5

Rancho Santa Margarita	120	Closed	
O.C. Superior Court	121	Active	1483
O.C. IHSS Public Authority	122	Active	29

OCERS Plans by Employer

Yellow highlight indicates plan is closed but their may still be members.

Employer Name	Plan Formula	Employer Plan Code	Employer ID	Plan Number	Plan ID	Tier	Rate Group	Plan Type	Rule Status	Contract Date	Participation Date	Effective Date (Dates from PG)	Closed Plan to New Members	PG Plan Name	Closed Date
Orange County	2.0% at 57	101A1	101	1	A	1	1*	General	Active	1/1/1945	1/1/1945	1/1/1937		General	
Orange County	1.67% at 57	101B1	101	1	B	2	1*	General	Active	1/1/1945	1/1/1945	1/1/1937	Reciprocity Only after 1/1/2013	General	
Orange County	2.7% at 55	101I5	101	5	I	1	2	General	Active	1/1/1945	1/1/1945	7/6/2004		2.7% at 55	
Orange County	2.7% at 55	101J5	101	5	J	2	2	General	Active	1/1/1945	1/1/1945	7/6/2004	*Election Reciprocity Only after 1/1/2013	2.7% at 55	
Orange County	1.62% at 65	101O10	101	10	O	1	2	General	Active	5/7/2010	5/7/2010	5/7/2010		1.62% at 65	
Orange County	1.62% at 65	101P10	101	10	P	2	2	General	Active	5/7/2010	5/7/2010	5/7/2010	*Election Reciprocity Only after 1/1/2013	1.62% at 65	
Orange County	2.0% at 50	101C2	101	2	C	1	7	Safety	Active	1/1/1945	1/1/1945	1/1/1937	6/9/2005	Safety (Probation)	
Orange County	2.0% at 50	101D2	101	2	D	2	7	Safety	Active	1/1/1945	1/1/1945	1/1/1937	6/9/2005	Safety (Probation)	
Orange County	3.0% at 50	101E3	101	3	E	1	7	Safety	Active	1/1/1945	1/1/1945	1/1/1937		Safety 2	
Orange County	3.0% at 50	101F3	101	3	F	2	7	Safety	Active	1/1/1945	1/1/1945	1/1/1937		Safety 2	
Orange County	3.0% at 50	101E7	101	7	E	1	6	Safety	Active	1/1/1945	1/1/1945	6/10/2005		3.0% at 50 Probation	
Orange County	3.0% at 50	101F7	101	7	F	2	6	Safety	Active	1/1/1945	1/1/1945	6/10/2005	Reciprocity Only after 1/1/2013	3.0% at 50 Probation	

Employer Name	Plan Formula	Employer Plan Code	Employer ID	Plan Number	Plan ID	Tier	Rate Group	Plan Type	Rule Status	Contract Date	Participation Date	Effective Date (Dates from PG)	Closed Plan to New Members	PG Plan Name	Closed Date
Orange County	3.0% at 55	101Q11	101	11	Q	1	7	Safety	Active	4/9/2010	4/9/2010	4/9/2010		3.0% at 55 Safety	
Orange County	3.0% at 55	101R11	101	11	R	2	7	Safety	Active	4/9/2010	4/9/2010	4/9/2010	Reciprocity Only after 1/1/2013	3.0% at 55 Safety	
Orange County	1.62% at 65	101T13	101	13	T	2	2	General	Active	1/1/2013	1/1/2013	1/1/2013		1.62% at 65 Pepra Compliant	
Orange County	2.5% at 67	101U14	101	14	U	2	2	General	Active	1/1/2013	1/1/2013	1/1/2013		2.5% at 67 Pepra	
Orange County	2.7% at 57	101V15	101	15	V	2	7	Safety	Active	1/1/2013	1/1/2013	1/1/2013		2.7% at 57 Safety - Pepra	
Orange County	2.7% at 57	101V16	101	16	V	2	6	Safety	Active	1/1/2013	1/1/2013	1/1/2013		2.7% at 57 Probation - Pepra	
Orange County	2.5% at 67	101U17	101	17	U	2	1*	General	Active	1/1/2013	1/1/2013	1/1/2013		2.5% at 67 AFSME -Pepra	
O.C. Cemetery District	2.0% at 57	102A1	102	1	A	1	11	General	Active	1/1/1945	1/1/1945	1/1/1937	12/6/2007	General	
O.C. Cemetery District	1.67% at 57	102B1	102	1	B	2	11	General	Active	1/1/1945	1/1/1945	1/1/1937	12/6/2007	General	
O.C. Cemetery District	2.0% at 55	102M9	102	9	M	1	11	General	Active	1/1/1937	12/7/2007	1/1/1937		2.0% at 55	
O.C. Cemetery District	2.0% at 55	102N9	102	9	N	2	11	General	Active	1/1/1937	12/7/2007	1/1/1937	Reciprocity Only after 1/1/2013	2.0% at 55	
O.C. Cemetery District	2.5% at 67	102U14	102	14	U	2	11	General	Active	1/1/2013	1/1/2013	1/1/2013		2.5% at 67 Pepra	
O.C. Law Library	2.0% at 57	103A1	103	1	A	1	12	General	Active	1/1/1945	1/1/1945	1/1/1937		General	
O.C. Law Library	1.67% at 57	103B1	103	1	B	2	12	General	Active	1/1/1945	1/1/1945	1/1/1937		General	
O.C. Law Library	2.5% at 55	103G4	103	4	G	1	12	General	Active	1/1/1945	1/1/1945	1/1/1937		2.5% at 55	

Employer Name	Plan Formula	Employer Plan Code	Employer ID	Plan Number	Plan ID	Tier	Rate Group	Plan Type	Rule Status	Contract Date	Participation Date	Effective Date (Dates from PG)	Closed Plan to New Members	PG Plan Name	Closed Date
O.C. Law Library	2.5% at 55	103H4	103	4	H	2	12	General	Active	1/1/1945	1/1/1945	1/1/1937		2.5% at 55	
O.C. Law Library	2.5% at 67	103U14	103	14	U	2	12	General	Active	1/1/2013	1/1/2013	1/1/2013		2.5% at 67 Pepra	
O.C. Vector Control	2.0% at 57	104A1	104	1	A	1	1	General	Active	1/1/1945	1/1/1945	1/1/1937	1/4/2007	General	1/4/2007
O.C. Vector Control	1.67% at 57	104B1	104	1	B	2	1	General	Active	1/1/1945	1/1/1945	1/1/1937	1/4/2007	General	1/4/2007
O.C Retirement System	2.0% at 57	105A1	105	1	A	1	2	General	Active	1/1/1945	1/1/1945	1/1/1937	6/23/2005	General	
O.C Retirement System	1.67% at 57	105B1	105	1	B	2	2	General	Active	1/1/1945	1/1/1945	1/1/1937	6/23/2205	General	
O.C Retirement System	2.7% at 55	105I5	105	5	I	1	2	General	Active	1/1/1945	1/1/1945	6/24/2005		2.7% at 55	
O.C Retirement System	2.7% at 55	105J5	105	5	J	2	2	General	Active	1/1/1945	1/1/1945	6/24/2005	*Election Reciprocity Only after 1/1/2013	2.7% at 55	
O.C Retirement System	2.7% at 55	105I8	105	8	I	1	2	General	Active	6/24/2005	6/24/2005	6/24/2005		2.7% at 55 OCERS Mgmt	
O.C Retirement System	2.7% at 55	105J8	105	8	J	2	2	General	Active	6/24/2005	6/24/2005	6/24/2005	Reciprocity Only after 1/1/2013	2.7% at 55 OCERS Mgmt	
O.C Retirement System	1.62% at 65	105O10	105	10	O	1	2	General	Active	5/7/2010	5/7/2010	5/7/2010		1.62% at 65	
O.C Retirement System	1.62% at 65	105P10	105	10	P	2	2	General	Active	5/7/2010	5/7/2010	5/7/2010	*Election Reciprocity Only after 1/1/2013	1.62% at 65	
O.C Retirement System (County)	1.62% at 65	105T13	105	13	T	2	2	General	Active	1/1/2013	1/1/2013	1/1/2013		1.62% at 65 Pepra	
O.C Retirement System (Mgmt)	2.5% at 67	105U14	105	14	U	2	2	General	Active	1/1/2013	1/1/2013	1/1/2013		2.5% at 67 Pepra	
O.C. Fire Authority	2.0% at 57	106A1	106	1	A	1	10	General	Active	1/1/1945	1/1/1945	1/1/1937		General	

Employer Name	Plan Formula	Employer Plan Code	Employer ID	Plan Number	Plan ID	Tier	Rate Group	Plan Type	Rule Status	Contract Date	Participation Date	Effective Date (Dates from PG)	Closed Plan to New Members	PG Plan Name	Closed Date
O.C. Fire Authority	1.67% at 57	106B1	106	1	B	2	10	General	Active	1/1/1945	1/1/1945	1/1/1937		General	
O.C. Fire Authority	2.0% at 50	106C2	106	2	C	1	8	Safety	Active	1/1/1945	1/1/1945	1/1/1945		2.0% at 50	
O.C. Fire Authority	2.0% at 50	106D2	106	2	D	2	8	Safety	Active	1/1/1945	1/1/1945	1/1/1945		2.0% at 50	
O.C. Fire Authority	2.7% at 55	106I5	106	5	I	1	10	General	Active	1/1/1945	1/1/1945	7/6/2004		2.7% at 55	
O.C. Fire Authority	2.7% at 55	106J5	106	5	J	2	10	General	Active	1/1/1945	1/1/1945	7/6/2004		2.7% at 55	
O.C. Fire Authority	2.0% at 55	106M9	106	9	M	1	10	General	Active	7/1/2011	7/1/2011	7/1/2011		2.0% at 55	
O.C. Fire Authority	2.0% at 55	106N9	106	9	N	2	10	General	Active	7/1/2011	7/1/2011	7/1/2011		2.0% at 55	
O.C. Fire Authority	3.0% at 50	106E3	106	3	E	1	8	Safety	Active	1/1/1945	1/1/1945	1/1/1937		Safety 2 (3.0% at 50)	
O.C. Fire Authority	3.0% at 50	106F3	106	3	F	2	8	Safety	Active	1/1/1945	1/1/1945	1/1/1937		Safety 2 (3.0% at 50)	
O.C. Fire Authority	3.0% at 55	106Q11	106	11	Q	1	8	Safety	Active	7/1/2012	7/1/2012	7/12/2012		3.0% at 55 Safety	
O.C. Fire Authority	3.0% at 55	106R11	106	11	R	2	8	Safety	Active	7/1/2012	7/1/2012	7/12/2012		3.0% at 55 Safety	
O.C. Fire Authority	2.5% at 67	106U14	106	14	U	2	10	General	Active	1/1/2013	1/1/2013	1/1/2013		2.5% at 67 Pepra	
O.C. Fire Authority	2.7% at 57	106V15	106	15	V	2	8	Safety	Active	1/1/2013	1/1/2013	1/1/2013		2.7% at 57 Safety - Pepra	
Cypress Recreation & Parks	2.0% at 57	107A1	107	A	1	1	1	General	Active	1/1/1945	1/1/1945	1/1/1937	Closed	General	

Employer Name	Plan Formula	Employer Plan Code	Employer ID	Plan Number	Plan ID	Tier	Rate Group	Plan Type	Rule Status	Contract Date	Participation Date	Effective Date (Dates from PG)	Closed Plan to New Members	PG Plan Name	Closed Date
Cypress Recreation & Parks	1.67% at 57	107B1	107	B	1	2	1	General	Active	1/1/1945	1/1/1945	1/1/1937	Closed	General	
Cypress Recreation & Parks	2.0% at 55	107M9	107	M	9	1	1	General	Active	1/1/1945	1/1/1945	1/1/1937	Closed	2.0% at 55	
Cypress Recreation & Parks	2.0% at 55	107N9	107	N	9	2	1	General	Active	1/1/1945	1/1/1945	1/1/1937	Closed	2.0% at 55	
Department of Education	2.0% at 57	108A1	108	1	A	1	1	General	Active	1/1/1945	1/1/1945	1/1/1937	Closed	General	
Department of Education	1.67% at 57	108B1	108	1	B	2	1	General	Active	1/1/1945	1/1/1945	1/1/1937	Closed	General	
Transportation Corridor Agency	2.0% at 57	109	109	1	A	1	9	General	Active	1/1/1945	1/1/1945	1/1/1937	6/30/2011	General	
Transportation Corridor Agency	1.67% at 57	109	109	1	B	2	9	General	Active	1/1/1945	1/1/1945	1/1/1937	6/30/2011	General	
Transportation Corridor Agency	2.0% at 55	109	109	9	M	1	9	General	Active	1/1/1945	1/1/1945	1/1/1937		2.0% at 55	
Transportation Corridor Agency	2.0% at 55	109	109	9	N	2	9	General	Active	1/1/1945	1/1/1945	1/1/1937		2.0% at 55	
Transportation Corridor Agency	2.5% at 67	109U14	109	14	U	2	9	General	Active	1/1/2013	1/1/2013	1/1/2013		2.5% at 67 Pepra	
City of San Juan Capistrano	2.0% at 57	110A1	110	1	A	1	2	General	Active	1/1/1945	1/1/1945	1/1/1945		General	
City of San Juan Capistrano	1.67% at 57	110B1	110	1	B	2	2	General	Active	1/1/1945	1/1/1945	1/1/1945		General	
City of San Juan Capistrano	2.7% at 55	110I5	110	5	I	1	2	General	Active	1/1/1945	1/1/1945	12/11/2003		2.7% at 55	
City of San Juan Capistrano	2.7% at 55	110J5	110	5	J	2	2	General	Active	1/1/1945	1/1/1945	12/11/2003		2.7% at 55	
City of San Juan Capistrano	2.0% at 57	110S12	110	12	S	2	2	General	Active	7/1/2012	7/1/2012	7/1/2012	Legacy	2.0% at 57	

Employer Name	Plan Formula	Employer Plan Code	Employer ID	Plan Number	Plan ID	Tier	Rate Group	Plan Type	Rule Status	Contract Date	Participation Date	Effective Date (Dates from PG)	Closed Plan to New Members	PG Plan Name	Closed Date
City of San Juan Capistrano	2.5% at 67	110U14	110	14	U	2	2	General	Active	1/1/2013	1/1/2013	1/1/2013		2.5% at 67 Pepra	
City of San Juan Capistrano	1.62% at 65	110W18	110	18	W	2	2	General	Active	1/1/2016	1/1/2016	1/1/2016		1.62% at 65 Pepra Compliant	
O.C. Sanitation District	2.0% at 57	111A1	111	1	A	1	3	General	Active	1/1/1945	1/1/1945	1/1/1937		General	
O.C. Sanitation District	1.67% at 57	111B1	111	1	B	2	3	General	Active	1/1/1945	1/1/1945	1/1/1937	Reciprocity Only after 1/1/2013	General	
O.C. Sanitation District	2.5% at 55	111G4	111	4	G	1	3	General	Active	6/24/2005	6/24/2005	6/24/2005	Closed	2.5% at 55	
O.C. Sanitation District	2.5% at 55	111H4	111	4	H	2	3	General	Active	6/24/2005	6/24/2005	6/24/2005	Closed	2.5% at 55	
O.C. Sanitation District	2.5% at 67	111U14	111	14	U	2	3	General	Active	1/1/2013	1/1/2013	1/1/2013		2.5% at 67 Pepra	
O.C. Transportation Authority	2.0% at 57	112A1	112	1	A	1	5	General	Active	1/1/1945	1/1/1945	1/1/1937		General	
O.C. Transportation Authority	1.67% at 57	112B1	112	1	B	2	5	General	Active	1/1/1945	1/1/1945	1/1/1937		General	
O.C. Transportation Authority	2.5% at 67	112U14	112	14	U	2	5	General	Active					2.5% at 67 Pepra	
U.C.I. (Bi-weekly)	2.0% at 57	113A1	113	1	A	1	1	General	Active	1/1/1945	1/1/1945	1/1/1937	Closed	General	11/6/2016
U.C.I. (Bi-weekly)	1.67% at 57	113B1	113	1	B	2	1	General	Active	1/1/1945	1/1/1945	1/1/1937	Closed	General	11/6/2016
U.C.I. (Monthly)	2.0% at 57	114A1	114	1	A	1	1	General	Active	1/1/1945	1/1/1945	1/1/1937	Closed	General	9/1/2011
U.C.I. (Monthly)	1.67% at 57	114B1	114	1	B	2	1	General	Active	1/1/1945	1/1/1945	1/1/1937	Closed	General	9/1/2011

Employer Name	Plan Formula	Employer Plan Code	Employer ID	Plan Number	Plan ID	Tier	Rate Group	Plan Type	Rule Status	Contract Date	Participation Date	Effective Date (Dates from PG)	Closed Plan to New Members	PG Plan Name	Closed Date
Capistrano Beach Sanitary Dist	2.0% at 57	117A1	117	A	1	1	1	General	Active	1/1/1945	1/1/1945	1/1/1937	Closed	General	
Capistrano Beach Sanitary Dist	1.67% at 57	117B1	117	B	1	2	1	General	Active	1/1/1945	1/1/1945	1/1/1937	Closed	General	
Capistrano Beach Sanitary Dist	2.0% at 55	117M9	117	M	9	1	1	General	Active	1/1/1945	1/1/1945	1/1/1937	Closed	2.0% at 55	
Capistrano Beach Sanitary Dist	2.0% at 55	117N9	117	N	9	2	1	General	Active	1/1/1945	1/1/1945	1/1/1937	Closed	2.0% at 55	
O.C. Children & Families Commission	2.0% at 57	118A1	118	1	A	1	1	General	Active	1/1/1945	1/1/1945	9/7/2001	12/22/2005	General	
O.C. Children & Families Commission	1.67% at 57	118B1	118	1	B	2	1	General	Active	1/1/1945	1/1/1945	9/7/2001	12/22/2005	General	
O.C. Children & Families Commission	2.7% at 55	118I5	118	5	I	1	2	General	Active	1/1/1945	1/1/1945	12/23/2005		2.7% at 55	
O.C. Children & Families Commission	2.7% at 55	118J5	118	5	J	2	2	General	Active	1/1/1945	1/1/1945	12/23/2005		2.7% at 55	
O.C. Children & Families Commission	2.5% at 67	118U14	118	14	U	2	2	General	Active	1/1/2013	1/1/2013	1/1/2013		2.5% at 67 Pepra	
Local Agency Formation Commission	2.0% at 57	119A1	119	1	A	1	1	General	Active	1/1/1945	1/1/1945	9/7/2001	6/23/2005	General	
Local Agency Formation Commission	1.67% at 57	119B1	119	1	B	2	1	General	Active	1/1/1945	1/1/1945	9/7/2001	6/23/2005	General	

Employer Name	Plan Formula	Employer Plan Code	Employer ID	Plan Number	Plan ID	Tier	Rate Group	Plan Type	Rule Status	Contract Date	Participation Date	Effective Date (Dates from PG)	Closed Plan to New Members	PG Plan Name	Closed Date
Local Agency Formation Commission	2.7% at 55	119I5	119	5	I	1	2	General	Active	1/1/1945	1/1/1945	6/24/2005	12/11/2012	2.7% at 55	
Local Agency Formation Commission	2.7% at 55	119J5	119	5	J	2	2	General	Active	1/1/1945	1/1/1945	6/24/2005	12/11/2012	2.7% at 55	
Local Agency Formation Commission	1.62% at 65	119O10	119	10	O	1	2	General	Active	6/9/2010	6/9/2010	6/9/2010	12/31/2012	1.62% at 65	
Local Agency Formation Commission	1.62% at 65	119P10	119	10	P	2	2	General	Active	6/9/2010	6/9/2010	6/9/2010	12/31/2012	1.62% at 65	
Local Agency Formation Commission	1.62% at 65	119T13	119	13	T	2	2	General	Active	1/1/2013	1/1/2013	1/1/2013		1.62% at 65 Pepra	
Rancho Santa Margarita	2.5% at 55	120G4	120	G	4	1	4	General	Active			1/1/2003	11/26/2006	2.5% at 55	11/26/2006
Rancho Santa Margarita	2.5% at 55	120H4	120	H	4	2	4	General	Active			1/1/2003	11/26/2006	2.5% at 55	11/26/2006
O.C. Superior Court	2.0% at 57	121A1	121	1	A	1	1	General	Active	3/4/2004	3/4/2004	3/4/2004	6/23/2005	General	
O.C. Superior Court	1.67% at 57	121B1	121	1	B	2	1	General	Active	3/4/2004	3/4/2004	3/4/2004	6/23/2005	General	
O.C. Superior Court	2.7% at 55	121I5	121	5	I	1	2	General	Active	6/24/2005	6/24/2005	6/24/2005		2.7% at 55	
O.C. Superior Court	2.7% at 55	121J5	121	5	J	2	2	General	Active	6/24/2005	6/24/2005	6/24/2005		2.7% at 55	
O.C. Superior Court	1.62% at 65	121O10	121	10	O	1	2	General	Active	5/7/2010	5/7/2010	5/7/2010		1.62% at 65	
O.C. Superior Court	1.62% at 65	121P10	121	10	P	2	2	General	Active	5/7/2010	5/7/2010	5/7/2010		1.62% at 65	
O.C. Superior Court	1.62% at 65	121T13	121	13	T	2	2	General	Active	1/1/2013	1/1/2013	1/1/2013		1.62% at 65 Pepra	6/29/2023

Employer Name	Plan Formula	Employer Plan Code	Employer ID	Plan Number	Plan ID	Tier	Rate Group	Plan Type	Rule Status	Contract Date	Participation Date	Effective Date (Dates from PG)	Closed Plan to New Members	PG Plan Name	Closed Date
O.C. Superior Court	2.5% at 67	121U14	121	14	U	2	2	General	Active	6/30/2023	6/30/2023	6/30/2023		2.5% at 67 Pepra	
O.C. IHSS Public Authority	2.0% at 57	122A1	122	1	A	1	1	General	Active	5/1/2004	5/1/2004	5/1/2004		General	
O.C. IHSS Public Authority	1.67% at 57	122B1	122	1	B	2	1	General	Active	5/1/2004	5/1/2004	5/1/2004		General	
O.C. IHSS Public Authority	2.5% at 67	122U14	122	14	U	2	1	General	Active	1/1/2013	1/1/2013	1/1/2013		2.5% at 67 Pepra	

OCERS Rate Groups

Rate Group	Plan Formula	Plan ID	Tier	Plan Number	Plan Type	Employers
1	2.0% at 57	A	1	01	General	Capistrano Beach, Cypress Recreations & Parks, Department of Education, Vector Control, O.C. IHSS Public Authority, UCI Bi-Weekly, UCI Monthly, Orange County w/ Bargaining Units "EW" (Eligibility Workers) and "PO" (Deputy Sheriff Training)
1	1.67% at 57	B	2	01	General	Capistrano Beach, Cypress Recreations & Parks, Department of Education, Vector Control, O.C. IHSS Public Authority, UCI Bi-Weekly, UCI Monthly, Orange County w/ Bargaining Units "EW" (Eligibility Workers) and "PO" (Deputy Sheriff Training)
1	2.5% at 67	U	2	14	General	O.C. IHSS Public Authority
1	2.5% at 67	U	2	17	General	Orange County w/ Bargaining Units "EW" (Eligibility Workers) and "PO" (Deputy Sheriff Training)
2	2.0% at 57	A	1	01	General	City of San Juan Capistrano, LAFCO, OCERS (non Mgmt), O.C. Superior Court, Orange County General Members (excluding "EW" and "PO" Rate Group 1 members)
2	1.67% at 57	B	2	01	General	City of San Juan Capistrano, LAFCO, OCERS (non Mgmt), O.C. Superior Court, Orange County General Members (excluding "EW" and "PO" Rate Group 1 members)

Rate Group	Plan Formula	Plan ID	Tier	Plan Number	Plan Type	Employers
2	2.7% at 55	I	1	05	General	City of San Juan Capistrano, LAFCO, OCERS (non Mgmt), O.C. Superior Court, Orange County General Members (excluding "EW" and "PO" Rate Group 1 members)
2	2.7% at 55	J	2	05	General	City of San Juan Capistrano, LAFCO, OCERS (non Mgmt), O.C. Superior Court, Orange County General Members (excluding "EW" and "PO" Rate Group 1 members)
2	2.7% at 55	I	1	08	General	OCERS Mgmt
2	2.7% at 55	J	2	08	General	OCERS Mgmt
2	1.62% at 65	O	1	10	General	City of San Juan Capistrano, LAFCO, OCERS (non Mgmt), O.C. Superior Court, Orange County General Members (excluding "EW" and "PO" Rate Group 1 members)
2	1.62% at 65	P	2	10	General	City of San Juan Capistrano, LAFCO, OCERS (non Mgmt), O.C. Superior Court, Orange County General Members (excluding "EW" and "PO" Rate Group 1 members)
2	2.0% at 57	S	2	12	General	City of San Juan Capistrano, LAFCO, OCERS (non Mgmt), O.C. Superior Court, Orange County General Members (excluding "EW" and "PO" Rate Group 1 members)
2	1.62% at 65	T	2	13	General	City of San Juan Capistrano, LAFCO, OCERS (non Mgmt), O.C. Superior Court, Orange County General Members (excluding "EW" and "PO" Rate Group 1 members)
2	2.5% at 67	U	2	14	General	City of San Juan Capistrano, LAFCO, OCERS (Mgmt), O.C. Superior Court, Orange County General Members (excluding "EW" and "PO" Rate Group 1 members)
3	2.0% at 57	A	1	01	General	O.C. Sanitation District
3	1.67% at 57	B	2	01	General	O.C. Sanitation District
3	2.5% at 55	G	1	04	General	O.C. Sanitation District
3	2.5% at 55	H	2	04	General	O.C. Sanitation District
3	2.5% at 67	U	2	14	General	O.C. Sanitation District
4	2.5% at 55	G	1	04	General	Rancho Santa Margarita
4	2.5% at 55	H	2	04	General	Rancho Santa Margarita
5	2.0% at 57	A	1	01	General	O. C. Transportation Authority

Rate Group	Plan Formula	Plan ID	Tier	Plan Number	Plan Type	Employers
5	1.67% at 57	B	2	01	General	O. C. Transportation Authority
6	2.0% at 57	A	1	02	Safety	Orange County Probation Members*
6	1.67% at 57	B	2	02	Safety	Orange County Probation Members*
6	2.0% at 50	C	1	02	Safety	Orange County Probation with Bargaining Units of "PS" and Probation Supervisors
6	2.0% at 50	D	2	02	Safety	Orange County Probation with Bargaining Units of "PS" and Probation Supervisors
6	3.0% at 50	E	1	07	Safety	Orange County Probation
6	3.0% at 50	F	2	07	Safety	Orange County Probation
6	2.7% at 57	V	2	16	Safety	Orange County Probation
7	2.0% at 50	C	1	02	Safety	Orange County Law Enforcement with all bargaining units excluding "PS", and including "FF" (Firefighters before separation with County)
7	2.0% at 50	D	2	02	Safety	Orange County Law Enforcement with all bargaining units excluding "PS", and including "FF" (Firefighters before separation with County)
7	3.0% at 50	E	1	03	Safety	Orange County Sheriff's
7	3.0% at 50	F	2	03	Safety	Orange County Sheriff's
7	3.0% at 55	Q	1	11	Safety	Orange County Sheriff's
7	3.0% at 55	R	2	11	Safety	Orange County Sheriff's
7	2.7% at 57	V	2	15	Safety	Orange County Sheriff's
8	2.0% at 50	C	1	02	Safety	O.C. Fire Authority Fire Authority Safety Members
8	2.0% at 50	D	2	02	Safety	O.C. Fire Authority Fire Authority Safety Members
8	3.0% at 50	E	1	03	Safety	O.C. Fire Authority Fire Authority Safety Members
8	3.0% at 50	F	2	03	Safety	O.C. Fire Authority Fire Authority Safety Members
8	3.0% at 55	Q	1	11	Safety	O.C. Fire Authority Fire Authority Safety Members
8	3.0% at 55	R	2	11	Safety	O.C. Fire Authority Fire Authority Safety Members
8	2.7% at 57	V	2	15	Safety	O.C. Fire Authority Fire Authority Safety Members
9	2.0% at 57	A	1	01	General	Transportation Corridor Agency
9	1.67% at 57	B	2	01	General	Transportation Corridor Agency
9	2.0% at 55	M	1	09	General	Transportation Corridor Agency

Rate Group	Plan Formula	Plan ID	Tier	Plan Number	Plan Type	Employers
9	2.0% at 55	N	2	09	General	Transportation Corridor Agency
9	2.5% at 67	U	2	14	General	Transportation Corridor Agency
10	2.0% at 57	A	1	01	General	O.C. Fire Authority General Members
10	1.67% at 57	B	2	01	General	O.C. Fire Authority General Members
10	2.7% at 55	I	1	05	General	O.C. Fire Authority General Members
10	2.7% at 55	J	2	05	General	O.C. Fire Authority General Members
10	2.0% at 55	M	1	09	General	O.C. Fire Authority General Members
10	2.0% at 55	N	2	09	General	O.C. Fire Authority General Members
10	2.5% at 67	U	2	14	General	O.C. Fire Authority General Members
11	2.0% at 57	A	1	01	General	O.C. Cemetery District
11	1.67% at 57	B	2	01	General	O.C. Cemetery District
11	2.0% at 55	M	1	09	General	O.C. Cemetery District
11	2.0% at 55	N	2	09	General	O.C. Cemetery District
11	2.5% at 67	U	2	14	General	O.C. Cemetery District
12	2.0% at 57	A	1	01	General	O.C. Law Library
12	1.67% at 57	B	2	01	General	O.C. Law Library
12	2.5% at 55	G	1	04	General	O.C. Law Library
12	2.5% at 55	H	2	04	General	O.C. Law Library
12	2.5% at 67	U	2	14	General	O.C. Law Library

Appendix G – Current Data Exchanges

OCERS is providing a list of current data exchanges for reference purposes only. This list is not intended to imply that the new system must replicate the legacy system. OCERS strongly prefers the new system utilize direct interfaces over indirect data exchanges wherever possible.

Interface	Description	Import / Export
Giact	Direct Deposit (ACH) Account Verification	Export
USPS	Address Standardization	Export

FedACH	Federal Reserve ACH Import	Import
NACHA	Nacha ACH Standard Export	Export
Transmittal	Transmittal Import File (Reg and Adj)	Import
Wells Fargo Payment Manager	Wells Fargo Payment Manager (ACH/Check Print File)	Export
	Daily Bank Reconciliation File	Import
IRS FIRE	IRS Tax Filing	Export
DE9 / DE9C	CA Quarterly State Tax	Export
CLEAR	Death Verification / Address Verification File	Export
Intent File	County Intent File	Export
1099-R Export	1099-R Export Print File	Export
Healthcare Deduction File	Healthcare and Deduction Import File.	Import

Appendix H – OCERS Current User Loads

Year	AE Non Payee Counts	AE Payee Counts
2024	32,641	22,367
2023	31,337	21,958
2022	29,944	21,268
2021	29,241	20,413
2020	28,399	19,877

The average annual growth rate (CAGR) is:

- **AE Non-Payees**: 3.54% per year

- **AE Payees**: 2.99% per year

Appendix I – OCERS Organizational Chart

Figure 7: Page 1 of OCERS Organizational Char
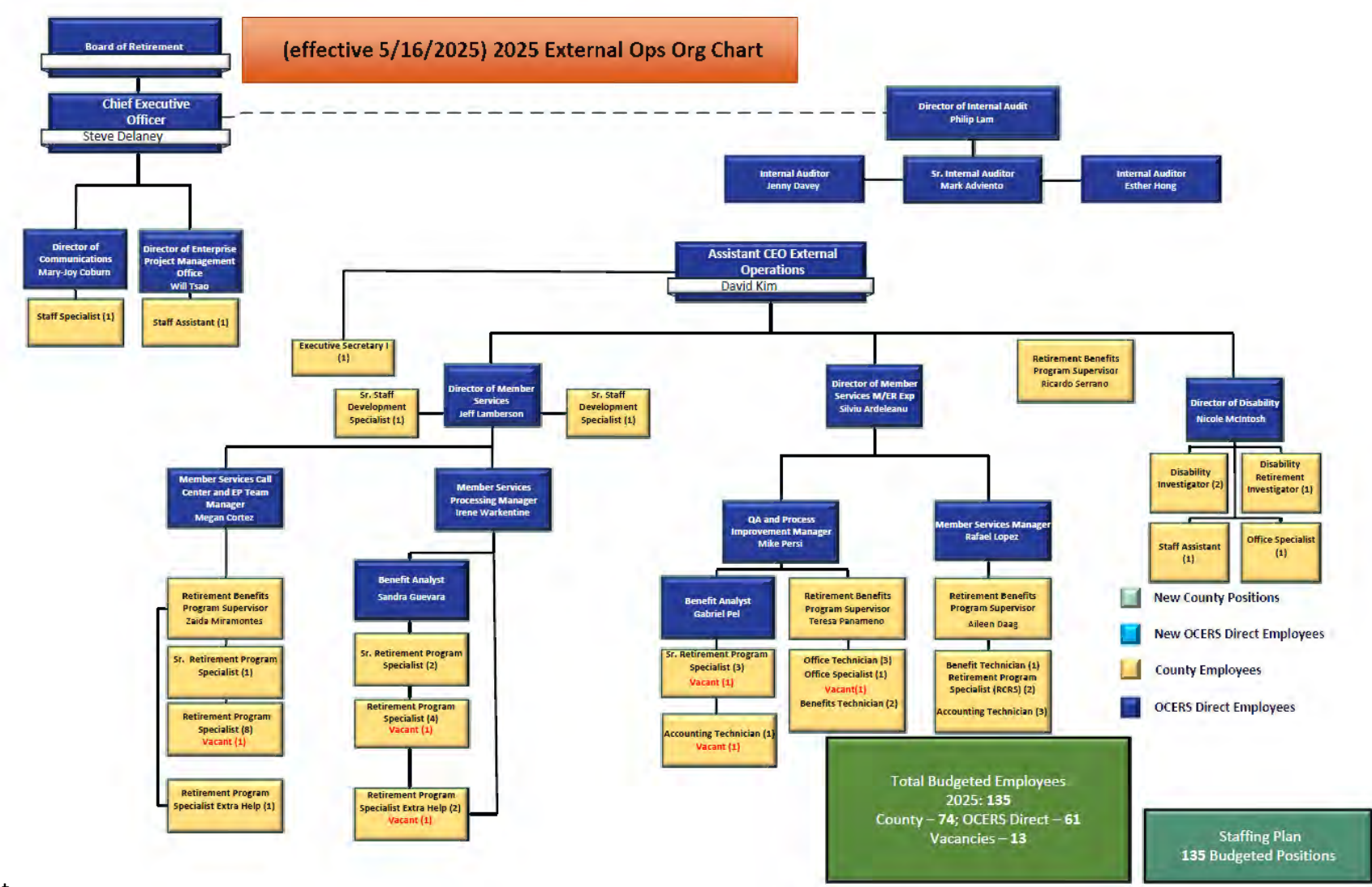
t

Figure 8: Page 2 of OCERS Organizational Chart
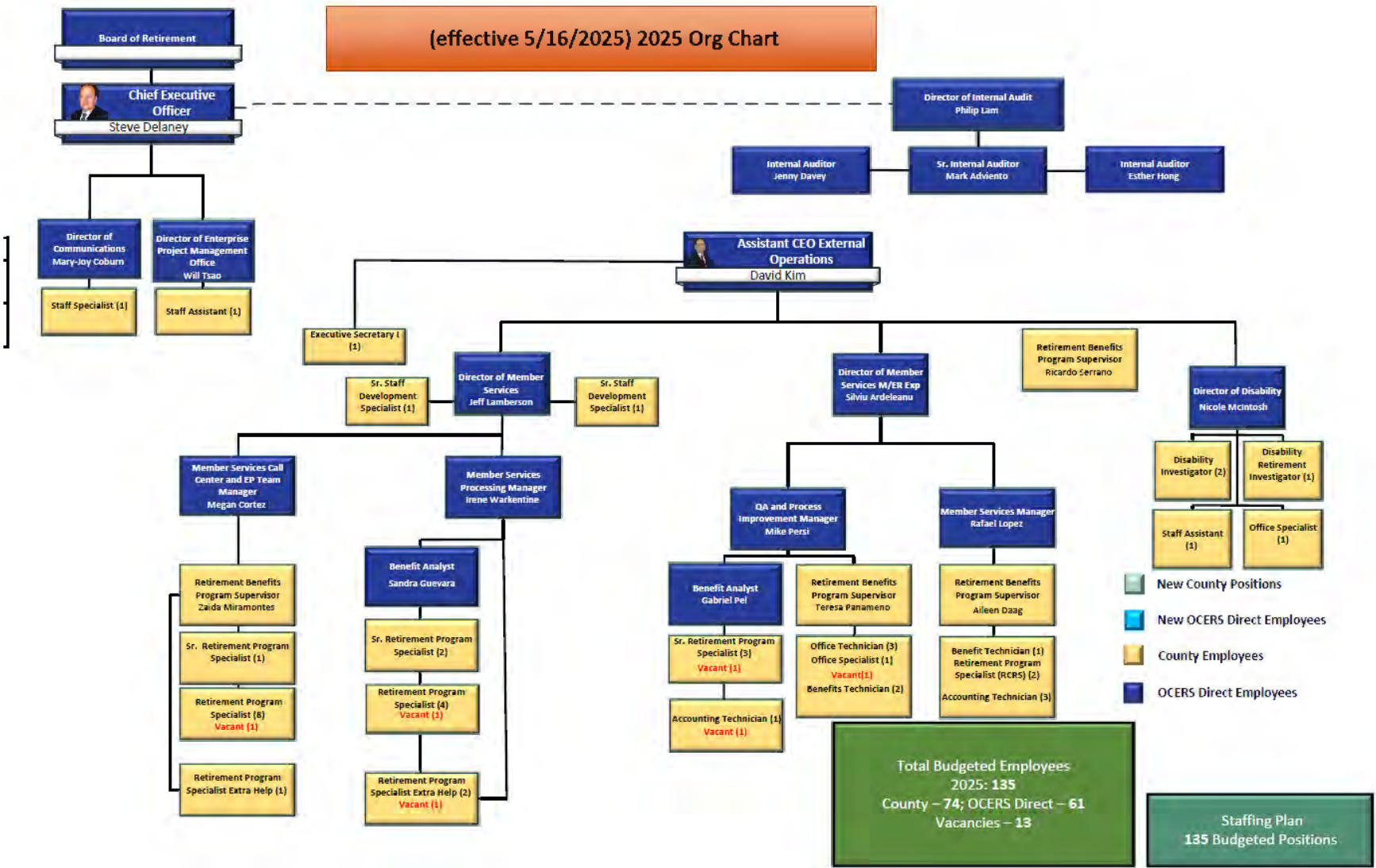
Attachment F – Service Agreement Template

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:

ARTICLE 1
PURPOSE

1.1   **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.

ARTICLE 2
TERMS

2.1   **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.

2.2   **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.

2.3 **Consideration**.

    2.3.1 <u>Compensation</u>. Contractor shall receive compensation, including authorized reimbursements, for all Services rendered under this Agreement as set forth in Exhibit "B" ("Fee Schedule").

    2.3.2 <u>Invoices and Payment</u>. 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.

    2.3.3 <u>Extra Work</u>. 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.

2.4 **Responsibilities of Contractor**.

    2.4.1 <u>Independent Contractor</u>. 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.

    2.4.2 <u>No Benefits and Payment of Subordinates</u>. 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.

2.4.3 <u>Tax</u>. 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.

2.4.4 <u>Licensing</u>. 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.

2.4.5 <u>Conformance to Applicable Requirements</u>. All Services performed by Contractor shall be subject to the approval of OCERS.

2.4.6 <u>Substitution of Key Personnel</u>. 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.

2.4.7   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.

2.4.8   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.

2.4.9   Labor Code Provisions.

A.   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.

B.   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.

C.   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.

2.4.10 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.

2.4.11 <u>Business Continuity Plan</u>. 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.

2.4.12 <u>Inducement</u>. 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.

2.4.13 <u>No Conflict</u>. 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.

2.4.14 <u>Disputes</u>. 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.

2.5 **Representatives of the Parties**.

2.5.1 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.

2.5.2 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.

2.6 **Indemnification**.

2.6.1 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.

2.6.2   <u>Third-Party Claims</u>. 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.

2.6.3   <u>Civil Code Section 2782.8</u>. 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.

2.6.4   <u>Definition of Losses</u>. 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.

2.7   <u>Infringement Remedy</u>.

2.7.1   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:

A.   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

B.   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.

2.8 **Insurance**.

2.8.1 <u>Time for Compliance</u>. 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.

2.8.2 <u>Minimum Requirements</u>. 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:

A. **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.

B. **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.

C. **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.

D. **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.

E. **Fidelity Insurance**. Comprehensive fidelity insurance policy with employee dishonesty coverage in an amount not less than five million dollars ($5,000,000) per occurrence.

F. **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).

G. **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.

2.8.3 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.

A. The insurance policies required by Section 2.8.2 above shall contain or be endorsed to contain the following specific provisions:

I. 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.

II.   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.

III.   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.

IV.   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.

V.   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.

VI.   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.

2.8.4   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.

2.9 **Warranty**.

2.9.1 "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.

2.9.2 "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.

2.9.3 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.

2.10 **Service Level Agreements**. See Exhibit G.

2.11 **Termination of Agreement**.

2.11.1 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.

2.11.2 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.

2.12 **Ownership of Work Product and Confidentiality**.

2.12.1 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.

2.12.2 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.

2.12.3 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.

2.12.4 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.

2.12.5 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.

2.12.6 <u>Customer Data</u>. 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:

A.   To maintain Customer Data in confidence;

B.   Not to use Customer Data other than in the course of this Agreement;

C.   Not to disclose or release Customer Data except on a need-to-know only basis;

D.   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;

E.   To promptly notify OCERS in writing of any unauthorized release of confidential information, including Customer Data;

F.   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

G.   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.

2.12.7 <u>Disclosure</u>. 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.

2.12.8 <u>Information Security Program</u>. 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. <u>Security or Cybersecurity Breach</u>. 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.

2.12.9 <u>Personally Identifiable Information or Protected Health Information (PHI)</u>. 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.

2.12.10 <u>Publicity</u>. 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.

2.12.11   <u>Non-Infringement</u>. 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.

2.12.12   <u>Additional Representations, Warranties, and Covenants</u>. Contractor represents, warrants, and covenants to OCERS that:

A.   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;

B.   Contractor is in compliance with, and will perform all of its obligations under this Agreement in compliance with, all applicable Laws;

C.   OCERS will receive a valid and enforceable license to Exploit and Modify the Software;

D.   Contractor will use commercially reasonable measures to protect against the introduction of Harmful Code into the Software;

E.   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;

F.   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;

G.   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;

H.   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;

I.   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;

J.   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

K.   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.

2.13 **Subcontracting/Subconsulting.**

2.13.1   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.

2.13.2   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.

2.14 **Delays**.

2.14.1 <u>Delays Caused by OCERS</u>. 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.

2.14.2 <u>Other Delays</u>. 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.

2.15 **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.

2.16 Licenses.

2.16.1 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.

2.16.2 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.

2.16.3 <u>Third-Party Materials</u>.

A. 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.

B. 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.

2.16.4 <u>Approved Open Source Components</u>. 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

3.1 **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

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.

3.2 **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.

3.3 **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.

3.4 **OCERS Right to Employ Other Contractors**. OCERS reserves the right to employ other contractors in connection with the Services.

3.5 **Successors and Assigns**. This Agreement shall be binding on the successors and assigns of the Parties.

3.6 **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.

3.7 **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.

3.7.1 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

3.7.2   <u>Notice of Change Order by OCERS</u>. 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:

A.   By mutual agreement between the parties in writing.

B.   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.

C.   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.

3.7.3   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.

3.7.4   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.

3.8   **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.

3.9   **No Third-Party Beneficiaries**. There are no intended third-party beneficiaries of any right or obligation assumed by the Parties.

3.10   **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.

3.11 **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.

3.12 **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).

3.13 **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.

3.14 **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.

3.15 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.

3.16 **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.

3.17 **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.

3.18 **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.

3.19 **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.

3.20 **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:

A.   Amendments to this Agreement entered into pursuant to Section 3.7 herein.

B.   This Agreement.

C.   Exhibit A: Scope of Services, Exhibit B: Fee Schedule, and Exhibit C: Key Personnel.

D.   OCERS Request for Proposal dated May 2025 attached as Exhibit "D."

E.   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), 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).

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
		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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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)

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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)

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
		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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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,).

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
		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)

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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)
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)

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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)

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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)

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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)

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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)

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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),

Functional Area	RFP Number	RFP OCERS Commitment
		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.

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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,

Functional Area	RFP Number	RFP OCERS Commitment
		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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.
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.
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

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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

Functional Area	RFP Number	RFP OCERS Commitment
		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

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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.

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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).

Functional Area	RFP Number	RFP OCERS Commitment
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 <u>Subsection 003 Key Systems</u>.

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:

2. **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.

3. **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.

5. **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.

6. **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

6. **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.

9. **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.

10. **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.

11. **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:

2. **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.

3. **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.

4. **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.

5. **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.

6. **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).

7. **Data Protection & Encryption:** Apply encryption for data at rest and in transit using current NIST-approve cryptographic standards.

8. **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.

9. **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.

10. 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.

11. 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.

12. 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.

13. 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.

14. 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).

15. 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.

16. 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.

17. 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.

18. 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.