Request for Proposal ETC0003

Benefits Administration System
for the Department of Employee Trust Funds
Wisconsin Retirement System

Issued by the State of Wisconsin

Department of Employee Trust Funds

Release Date: June 13, 2013

RELEASE NOTES

1. RELEASED VERSION - 20130613

This is the redacted version of RFP ETC0003 released on June 13, 2013. The redacted material that does not appear in this version will be made available (by download from a secure FTP site) only to those vendors who have attended the mandatory vendor conference and signed the ETF Non-Disclosure Agreement. That material includes the following information:

1. Figure 5 – ETF Logical Network Diagram
2. Figure 10 – ETF Web Subsystem Network Diagram
3. Table 87 – Servers in Use at WI ETF
4. Table 88 – Printers in Use at WI ETF
5. Appendix E.21 – Enterprise Business Management Scenarios.

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PART A BIDDING PROCEDURES AND REQUIREMENTS

A.1 GENERAL INFORMATION

This section of the Request for Proposal (RFP) details the procedures the proposer must follow to submit a proposal for the Benefits Administration System (BAS) solution and its implementation.

A.1.1 PURPOSE OF THIS PROCUREMENT

Employee Trust Funds (ETF) is soliciting proposals from firms having recent experience in the implementation of integrated benefits administration solutions in the public sector. To meet ETF's minimum qualifications, the vendor must be able to cite three or more such previous corporate projects, at least one of which must be complete, i.e., in the warranty period or later. (Please refer to Section C.1 for more specifics on the mandatory qualifications and to Section D.1.1 for instructions on preparing the technical proposal.) This section sets forth high-level information about the procurement.

This solicitation serves as notice, pursuant to Chapter 16 of the Wisconsin State statutes, of the commodity or service being sought and is to be considered the opportunity for vendors to indicate their interest in bidding on such commodity or service. A glossary of terms appears as Appendix E.1 Definition of Terms.

ETF utilized the services and knowledge of LRWL Inc. in the development of this RFP. Certain clauses and formats and contents that pre-existed ETF's relationship with LRWL and are not already the State of Wisconsin's property are considered proprietary trade secrets by LRWL Inc., and may be protected by the copyright laws of the United States. This paragraph does not prohibit any government entity in Wisconsin from using this RFP's content.

A.1.2 REQUEST FOR PROPOSAL ORGANIZATION

This RFP is organized as described below.

PART A – BIDDING PROCEDURES AND REQUIREMENTS

This part of the RFP contains general information and ETF's terms and conditions.

PART B – CURRENT OPERATING ENVIRONMENT

This part of the RFP describes ETF's current environment and thereby provides the background for the issuance of this procurement.

PART C – PROCUREMENT SPECIFICATIONS AND DELIVERABLES

This part of the RFP defines in detail the scope of the effort. It addresses the business requirements to be satisfied, the project's technical requirements (including standards to be observed, hardware and software to be specified and/or provided, and interfaces to be accommodated), and other required services and deliverables, including project management services, data-related services,

staffing, training, testing, disaster recovery planning, and warranty, maintenance, and support requirements. Options to be proposed are also identified.

PART D – VENDOR PROPOSALS

This part of the RFP provides detailed instructions for the preparation and format of vendor proposals, both technical and cost as well as the evaluation criteria the State will use in evaluating the proposals received and how the evaluation will be conducted.

PART E – APPENDICES

This part of the RFP includes appendices that contain information supplemental to the body of the RFP described above in Parts A-D, as well as a set of tables of requirements that the vendor must complete to indicate their level of compliance in meeting ETF's functional requirements.

PART F – ATTACHMENTS

This part of the RFP includes attachments, forms, etc., that are not incorporated into the body of the RFP itself. Typically, they will be used by the vendor in preparation of their response.

A.1.3 ABOUT EMPLOYEE TRUST FUNDS (ETF) – A SUMMARY

The Wisconsin Department of Employee Trust Funds (ETF) is the Wisconsin state agency that administers multiple benefit programs including:

- The Wisconsin Retirement System (WRS)
- Group health insurance programs for state employees, local employees, and WRS annuitants and their dependents
- A variety of other employee benefit programs.

The WRS, the largest of the twelve ETF benefit programs, is the ninth largest public retirement and benefits system in the United States. The basis for WRS was created through 1947 legislative changes outlining measures for consolidating multiple, predecessor state and local public employee pension systems (some of which were formed as early as 1891). The WRS now provides retirement, disability and death benefits to all state employees and to most local government employees in Wisconsin. As of February 2012, the WRS has approximately 267,000 active members, 144,200 inactive members, 162,000 current monthly benefit recipients and about 1,500 employers. The transition rate to annuitant status is anticipated to continue at the record pace that was set in 2010 and 2011. For additional information regarding the plans such as eligibility rules, contribution rates and benefits please refer to the Informational Brochures at:

http://etf.wi.gov/publications.htm

and the 2010 Comprehensive Annual Financial Report (CAFR) accessible at:

http://etf.wi.gov/publications/cafr.htm

ETF is one of the largest purchasers of health insurance in the state of Wisconsin, covering nearly 250,000 lives and spending $1.5 billion in health insurance premium annually via 18 different health insurers. ETF also administers the life insurance program for all state employees and over 700 local units of government through a TPA. The life insurance program covers over 175,000 lives, with annual paid benefits topping $30 million. Further, ETF administers four disability programs and over 10,000 state and local government employees receiving disability benefits through these programs.

The programs currently pay out over $200 million in disability benefits annually. Two of the programs are administered in-house, and two are administered through a vendor.

For more information, please refer to ETF's Website at:

http://etf.wi.gov.

Currently, ETF uses multiple information systems in support of ETF business processes. Those systems include mainframe and PC hardware and COBOL-, Java-, DB2-, and MS Access-based software. There are numerous paper and electronic processes that are inefficient, error-prone, and time-consuming at a time when baby boomer retirements are at an all-time high (and are projected to continue increasing for many more years).

ETF will not be able to handle the rate of retirements and the complexity of its current systems/processes without adding significant staff which is not an option. ETF needs to optimize its overall ability to process a growing number of retirements and the resulting payroll. Additionally, with over 20 separate, largely stand-alone computer applications spanning a multitude of technologies, IT support costs are also growing at a time when the benefit recipient base is growing, the technology is aging, and complexity abounds.

On the health insurance front, ETF anticipates increasing interest among our employees being engaged participants in their health benefits. Likewise, there is a growing movement involving the availability of information about health care cost and quality. As such, ETF must position itself to provide members with relevant, understandable information about their health care options so that they can make the most beneficial choices. ETF also needs to be positioned to adjust benefits and program structures in the best interest of our members as the health insurance industry adjusts to federal health care reform.

As part of an enterprise technology initiative, ETF is seeking to identify a vendor who solely, or through the use of one or more clearly defined and well-managed subcontractors, can provide a Commercial, Off-the-Shelf Benefits Administration System and the consulting services to assist ETF in implementing that solution.

A.1.4 PROJECT OBJECTIVES AND SCOPE

ETF is about to embark on a major initiative with the aim of implementing a new benefits administration system (BAS) solution. The objective of this RFP is to solicit proposals from public retirement system software and implementation vendors to provide that new, integrated benefits administration system. Specifically, vendors are to propose a solution consisting of the implementation of a fully integrated, best-practices-based benefits (retirement and various insurances) administration system with (minimal) customizations to that system to meet ETF's requirements. The contract to be awarded, as a result of this solicitation, will be for at least the following solution components: specification of hardware and commodity software, provision of commodity software, benefits administration application software, process reengineering, documentation, testing, implementation, integration, training, warranty, and support.

ETF will award this contract to the vendor who can best meet the needs as defined in this RFP. The new benefits administration system will support ETF activities for performing its duties in administering Wisconsin's employee retirement system and multiple other benefit programs. The high level functionality required by the new solution includes (but is not limited to) the following:

- Pension benefit-based ETF line-of-business functions, which include the applications that permit the agency to perform all of its WRS-related operations, e.g.: perform wage and contribution reporting, generate benefit estimates, issue refunds (a.k.a., separation benefits), calculate the cost of purchased service, retirement processing, payroll, tax processing, 1099-R processing, and production of member annual statements
- Strengthened processes and systems to make consistent the provision of multiple (disability, health, life, and income continuation) insurance administration capabilities, including automated administration and subsequent evaluation of over 20 third-party administrators (TPAs)
- Support for the execution of all processes required in accordance with enabling legislation, Board policies, etc., that are in effect on the day of contract execution
- Business Process Reengineering (BPR) of ETF's current business processes as necessary to increase processing efficiency and take best advantage of the BAS solution
- Browser-based access to the solution for members, users, employers, TPAs, and managers to facilitate ease of application system deployment and maintenance
- Web-based, self-service functionality to improve access to ETF by members, retirees, and other appropriate stakeholders (i.e., employers and TPAs)
- Integration of imaging, print-on-demand, and workflow management, collectively also known as Enterprise Content Management or ECM, within the BAS solution – to include both "tight" workflow (i.e., enabling a transaction / function as part of a defined workflow path), as well as the ability to perform a transaction / function such as an address change "directly" (i.e., 'outside' of the defined workflow path)

- Conversion and porting of ETF data, historical AFP (Advanced Function Printing) content, and possibly images to the new solution and bridging of data as necessary during a phased implementation
- Enablement of all required interfaces with other entities, including but not limited to employers, the State Department of Administration (DOA), and TPAs
- Ad hoc reporting capabilities
- Audit indicator capabilities such that a member's account can be identified as to whether it has been audited, through what date and by whom
- Thorough test and quality assurance of the entire solution
- A warranty that starts with the rollout of the first functional capability and concludes 12 months after the rollout of the final capability

- All ETF authorized options.

The prime contractor is also responsible for:

- Providing ETF-specific manuals and documentation for system users (including employers), administrators, and developers; in addition to all baseline functionality, all such documentation must reflect the customized, as-built status of the solution; standard documentation reflecting only the vendor's un-customized base solution will not be accepted
- Providing training for system users (including employers), administrators, and developers (but not members or retirees) – not only in application navigation and the use of screens and windows, but also in the use of the new solution to perform all of their various job functions, processes, and sub-processes in the new environment
- Providing experienced-based expertise and consultation to ETF management on topics such as suggested changes in staffing levels, communications, reorganization
- Providing opportunities (and training) for the ETF technical staff who will be responsible for solution maintenance and enhancements after it has been turned over to ETF
- Providing configuration and configuration management for the benefits administration software
- Providing any necessary software customizations to meet business and functionality requirements
- Providing full implementation of the new solution (including as-built documentation of system design, database models, system configurations, and customizations)
- Providing ongoing software support for the new BAS during the implementation and during the warranty period as provided herein
- Providing project management services for the implementation effort as provided herein.

This RFP articulates the functional, technical, and other requirements and expectations of ETF in the new integrated BAS. The objective of this RFP is to elicit a response from vendors for the implementation of the new solution.

The RFP also specifies the common format of vendor responses and the evaluation time frame that will enable ETF to compare the vendors' solutions and to make its choice. Finally, the RFP briefly explains the selection process.

A.2 RFP AND PROCUREMENT INFORMATION

This section of the RFP details the process by which a proposer may submit a proposal for the Benefits Administration System (BAS) solution and its implementation.

A.2.1 PROCURING AND CONTRACTING AGENCY

This RFP is issued under Chapter 16 of the Wisconsin State statutes by the Department of Employee Trust Funds. Statutes or rules that govern other state agencies may not be applicable to this procurement. The Department is the sole point of contact for the State in the selection process. The terms ETF, Department and Board may be used interchangeably in this document and its attachments.

Prospective proposers are prohibited from contacting any person other than the individual listed below regarding this RFP. Violation of this requirement may result in the proposer being disqualified from further consideration.

Express delivery:	**Mail delivery**:
Mark Blank	Mark Blank
RFP ETC0003	RFP ETC0003
Department of Employee Trust Funds	Department of Employee Trust Funds
801 W Badger Road	PO Box 7931
Madison, WI 53713-2526	Madison, WI 53707-7931

Telephone: (608) 266-8989

Email: ETFProcurement@etf.wi.gov

All communication with ETF must be in writing and sent to the email address above.

A.2.2 CALENDAR OF EVENTS

The dates provided in Table 1 below (other than the deadline by which proposals are due) are approximate and are for the period up to the project start date following contract award.

ETF reserves the right to change the calendar of events or issue Addenda to the RFP at any time. ETF also reserves the right to cancel or reissue the RFP. Vendors should check the ETF Website from time to time as any amendments or other RFP related materials will be posted there.

http://etfextranet.it.state.wi.us/

Table 1 Calendar of Events

DATE	ACTIVITY
June 13, 2013	RFP issued
June 24, 2013	Letter of Intent and questions to be answered at the vendor conference are due
July 2, 2013	Mandatory vendor conference – additional, oral questions permitted

DATE	ACTIVITY
July 8, 2013	Responses to vendor questions from vendor conference and previously submitted questions are provided
August 27, 2013	RFP Proposals Due at 2:PM CDT. 801 W Badger Road, Madison
September 23, 2013	Notification of short-list vendors; script for demonstrations sent
Week of October 14, 2013	Hold scripted product demonstrations / presentations
Week of October 28, 2013	Optional customer site visits
Week of November 4	Optional BAFO transmission and response
November 15, 2013	ETF evaluation completed and intent to award released
November and December	Contract negotiations
January 6, 2014	BAS project starts
All dates in the above table except the due date for proposals are subject to change without notice	

A.2.3 MANDATORY LETTER OF INTENT

A letter of intent indicating that a proposer intends to attend the Mandatory Vendor Conference (Section A.2.5) and subsequently submit a response to this RFP must be submitted to the Department by the date indicated in Section A.2.2. In the letter, identify the proposer's organization and the number of people (no more than five) who will be attending the Vendor Conference. In addition give the name, location, telephone number, and email address of one (or more) persons authorized to act on the proposer's behalf. Proposers should submit the letter of intent via email to the address in Section A.2.1. The letter of intent does not obligate the proposer to submit a response; without the submission of such a letter, the vendor will not be allowed into the mandatory vendor conference nor will any subsequently submitted response be evaluated.

A.2.4 CLARIFICATION OF THE SPECIFICATIONS AND REQUIREMENTS

Any questions concerning this RFP must be submitted via email on or before the date identified in Section A.2.2, to the ETFProcurement@etf.wi.gov identified in Section A.2.1. Proposers are expected to raise any questions they have concerning the RFP at this point in the process. Questions are to be submitted as MS Word document using the format specified below:

Table 2 Format for Submission of Vendor Questions

NO.	RFP SECTION	RFP PAGE	QUESTION
Q1			
A1			
Q2			
A2			

Email is the preferred method of communications. All written questions must include the name of the firm and the person submitting the questions. A compilation of all questions and answers, along with any RFP addenda, will be posted to the ETF Extranet (see below) no later than the date indicated in Section A.2.2.

If a proposer discovers any significant ambiguity, error, conflict, discrepancy, omission, or other deficiency in this RFP, the proposer should immediately notify the individual identified in Section A.2.1 of such error and request modification or clarification of this RFP document.

In the event that it becomes necessary to provide additional clarifying data or information, or to revise any part of this RFP, supplements or revisions will be published on the Department's Extranet at

http://etfextranet.it.state.wi.us/

and will not be mailed. Electronic versions of the RFP and all appendices and exhibits are available on ETF's Extranet.

A.2.5 MANDATORY VENDOR CONFERENCE

A pre-proposal site tour and Vendor Conference will be held at the DOR Events Room, DOR Building, 2135 Rimrock Road, Madison, WI 53613 on the date indicated in Section A.2.2. The Department will not be responsible for costs incurred by vendors attending the vendor conference. Any vendor intending to respond to this RFP must attend this conference in person. Registration of attending vendors will commence at 8:30 AM and the Introductory Remarks will begin at 9:00 AM. Because of the need to bus between the two ETF buildings, attendance is limited to five individuals from each vendor's organization.

Each attending vendor will be required to sign an ETF Non-Disclosure Agreement ((NDA), see Attachment F.8) prior to receiving any materials, e.g., a copy of ETF's current Continuity of Operations Plan (COOP), detailed application architecture information, that may have been withheld from the publicly released version of this RFP.

Vendor will be allowed to submit written questions only to ETFProcurement@etf.wi.gov identified in Section A.2.1 **prior** to the vendor conference. Vendors may receive a draft Q & A at the vendor conference. In addition, oral questions will be allowed and spontaneous answers will be provided at the conference. However, vendors are cautioned that changes or revisions to the RFP will be accomplished only through the issuance of an addendum. No verbal response at the vendor conference will, by itself, change the requirements of the RFP. Only the vendor's in person attendees may ask questions

The vendor's conference will be taped. All attendees must sign their names on a sign-up sheet and indicate who they are representing. Speakers must identify themselves before making a statement so that the record clearly reflects who is speaking and what he or she said.

A.2.6 REASONABLE ACCOMMODATIONS

ETF will provide reasonable accommodations, including the provision of informational material in an alternative format, for qualified individuals with disabilities upon request. If you will need accommodations at the vendor conference, contact the individual identified in Section A.2.1.

A.2.7 ORAL STATEMENTS AND COMMITMENTS

Vendor must clearly understand that, as noted above, any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any State personnel or their agent are **not** binding. Only the information issued in writing and added to the Request for Proposal specifications file by an official written addendum and/or the final written compilation of all questions and answers received that ETF posts per A.2.4 is binding.

A.2.8 ECONOMY OF PREPARATION

Proposals should be prepared simply and economically, providing a straightforward, concise description of Vendor's abilities to satisfy the requirements of the RFP. Emphasis should be placed on completeness and clarity of content.

A.2.9 PROPOSAL OPENING

Proposal openings will not be public. A summary of information disclosed at the RFP opening will be made available to the public on:

http://etfextranet.it.state.wi.us

as soon as practical after the opening unless competitive or bargaining reasons dictate that the information should not be made public at that time. Materials submitted for the RFP process may not be available for public inspection before the issuance of a notice of intent to award (see Section A.2.17)..

A.2.10 PRELIMINARY EVALUATION

Proposals will initially be reviewed to determine if mandatory qualifications are met. Failure to meet mandatory qualifications as stated in Section C.1 or failure to follow the required instructions for completing the proposal as specifically outlined in Part D Vendor Proposals may result in the rejection of the proposal. If no vendor meets one or more of the mandatory qualifications, the state reserves the right to continue the evaluation and select the proposal that most closely meets the qualifications.

A.2.11 SELECTION PROCESS

Proposals that pass the preliminary evaluation will be reviewed by an evaluation committee and scored against stated criteria. The committee will review written proposals, references, additional clarifications, and may require oral presentations, site visits, and other information to evaluate whether the proposal fulfills all of the specifications and requirements for this RFP. The evaluation committee's scoring will be tabulated and proposals will be ranked based on the numerical scores received. The evaluation committee will compare each vendor's score to the highest score. If the vendor's score is not reasonably apt to exceed the highest score during the rest of the process, no matter how well the vendor scores, either via that vendor moving up in the ranking, or the highest scorer moving down in the ranking, the committee may remove the proposal from further consideration.

Based on the results of the evaluation and taking into account all of the evaluation factors, the proposal(s) determined to be most advantageous to the Department may be selected by the Department for further action.

A.2.12 REQUESTS FOR CLARIFICATION

Upon review of proposals submitted by the vendor, ETF may, at its discretion, submit to the vendor written questions and requests for clarification relating to their technical and/or cost proposals. The vendor will be provided a reasonable period of time in which to submit written responses to ETF's questions and requests for clarification. Such question-and answer exchanges may be repeated until ETF is satisfied that all vendor information necessary to enable a complete evaluation of proposals has been obtained.

All such written exchanges between ETF and the successful vendor will be incorporated by reference into the contract to be executed by the two parties.

A.2.13 PRESENTATIONS AND PRODUCT DEMONSTRATIONS

At ETF's discretion, vendors may be required to provide presentations and/or product demonstrations at ETF's offices. If presentations and/or demonstrations are required, vendors will be offered alternative dates from which to select. The vendor will also be provided with scripted product demonstration scenarios on which to base their product demonstrations in order to assure an objective comparison among proposed solutions.

ETF believes that the key element in a successful implementation is the strength of the successful vendor's implementation team. That strength, in turn, is based on the capabilities of the vendor Project Manager. Therefore, ETF requires that the Project Manager and other key assigned project staff conduct the demonstrations. ETF's objective is to discern the vendor's proposed project staffs' familiarity with the solution and their ability to explain, communicate, converse, and interact among the vendor team and with ETF staff. While respecting the role of sales and marketing staff in the sales process, ETF is most interested in interacting with key proposed project members.

In addition, visits to existing vendor customer sites that have previously implemented (or are in the process of implementing) the proposed solution (or a variant thereof) may be conducted by ETF staff.

ETF reserves the right not to conduct vendor presentations, product demonstrations, and/or customer site visits and/or to conduct them with a subset of proposers.

A.2.14 BEST AND FINAL OFFERS

At ETF's discretion, Best and Final Offers (BAFO) may be solicited from the vendor whose scores are ranked highest after the initial review of proposals and product demonstrations and site visits (if demonstrations and site visits are conducted).

BAFOs must contain specific information on what is being requested by ETF. Enhanced core components of the RFP may be solicited; however, the integrity of the scope of the original RFP will be maintained. Proposers may be asked to provide additional clarification to specific sections of their response, and to rework their proposal content or cost proposal. Vendors are reminded to update their designation of confidential information (see Attachment F.4 Designation of Confidential and Proprietary Information (DOA 3027)) as a part of any BAFO response.

These vendor's best and final offers must be received at the address identified in Section A.2.1 no later than the date and time specified on the BAFO solicitation.. If a Best and Final Offer is not submitted, the previous submittal will be construed as the Best and Final Offer. BAFO proposals must be prepared in the same number of copies and packaged and submitted according to the instructions provided in Section D.1 regarding the initial RFP response. After Best and Final Offers are received, final evaluations will be conducted for an award.

ETF reserves the right not to solicit Best and Final Offers.

A.2.15 EVALUATION CRITERIA

Proposals must be as succinct as possible in providing an accurate picture of the vendor's ability to meet ETF's needs in a thorough, accurate, responsive and cost-effective manner. Any proposal that does not adhere to RFP requirements may be rejected as not responsive to the RFP without further consideration. ETF will evaluate proposals to determine which proposer will best satisfy all requirements set forth in this RFP. The following presents the evaluation criteria that will be used in determining the finalist(s).

Table 3 Proposal Evaluation Criteria

CRITERIA	WEIGHT
Solution Features	35%
Proposed Project Methodology and Work Plan	20%
Vendor and Staff Experience	30%
Cost	15%
Total	100%

The evaluation committee will compare each vendor's score to the highest score. If the vendor's score is not reasonably apt to exceed the highest score during the rest of the process, no matter how well the vendor scores, either via that vendor moving up in the ranking, or the highest scorer moving down in the ranking, the committee may remove the proposal from further consideration.

A.2.16 AWARD

The contract will be awarded to the vendor whose proposal receives the highest score and is determined to be the best value as determined by the Department. The agency reserves the right not to award a contract as a result of this RFP. If contract negotiations cannot be concluded successfully with the awarded proposer(s), the State may negotiate a contract with the next highest scoring proposer(s).

A.2.17 NOTICE OF AWARD

All vendors who respond to this RFP will be notified of the Department's intent to award the contract as a result of this RFP.

A.2.18 RIGHT TO REJECT PROPOSALS

The Department reserves the right to reject any and all proposals. The Department may negotiate the terms of the contract, including the award amount, with the selected vendor prior to entering into a contract.

A.2.19 APPEALS PROCESS

The appeals procedure applies only to those requests for bids/proposals for services that are over $50,000. Notices of intent to protest and protests must be made in writing. Written protests must be as specific as possible and must identify statutes and the Wisconsin Administrative Code provisions that are alleged to have been violated.

The written notice of intent to protest the award of a contract must be filed with Robert Conlin, Secretary, Department of Employee Trust Funds, P.O. Box 7931, Madison, WI 53707-7931, and received in that office no later than five (5) working days after the notices of the intent to award are issued. A copy of the notice of intent to protest must also be sent to the purchasing officer named in Section A.2.1.

The written protest itself must be received in the Secretary's Office at the above address no later than ten (10) working days after the notices of the intent to award are issued. A copy of the written protest must also be sent to the purchasing officer at address listed in Section A.2.1.

The decision of the Secretary may be appealed to the Secretary of DOA within five (5) working days of issuance, with a copy of such appeal sent to the RFP manager. The appeal must allege a violation of a statute or a provision of a Wisconsin Administrative Code.

A.2.20 NEGOTIATIONS

Negotiation is the last step in selecting the apparent winner. ETF will initiate negotiations with the top-rated vendors. If negotiations with the highest ranked vendor cannot be concluded to ETF's satisfaction within two weeks, ETF will initiate negotiations with the next lower ranked vendor. Similarly, if negotiations with the next lower ranked vendor cannot be concluded to ETF's satisfaction within two weeks, ETF will initiate negotiations with the next lower ranked vendor. This process will continue until negotiations are successfully concluded to ETF's satisfaction.

Upon the successful conclusion of negotiations, the winning vendor will be announced.

A.2.21 CLARIFICATION OF TERMINOLOGY

All references in this RFP to features, functions, or deliverables that "should", "must", "will", "has ability to", etc. be provided by the vendor are to be construed as mandatory. Similarly, all references in this RFP to information that "should", "must", "will", "has ability to", be provided in the vendor's proposal are to be construed as mandatory.

Vendors may be referred to alternatively as "bidders", "offerors", "proposers", "successful vendor", "successful bidders", etc. All such references (except for those explicitly defined otherwise) are to the primary contractor who submits the proposal in response to this RFP and, if successful, who will be responsible for the successful completion of all required deliverables.

In reviewing vendor's technical proposals, ETF will assume that <u>all</u> features and functionality described therein will be delivered for the quoted not-to-exceed cost presented in the vendor's cost proposals. Statements such as "… *[functionality n] can be provided* …" or " … *[functionality n] may be provided* …" or other similar sentence constructions will be interpreted to mean that [functionality n] **<u>will be provided at no additional cost</u>**. If vendors wish to discuss functionality that is feasible but not included in their cost bid, they must explicitly state as much in every applicable case.

References to days are to calendar days unless otherwise explicitly stated.

Reference is made throughout the RFP to project phases. The phases we require are based on best practices in project management, particularly as defined in the Project Management Institute's Project Management Book of Knowledge (PMI's PMBOK). In addition, we use the term "sub-phase" or "functional roll-out" to refer to the major functional rollouts (e.g., membership, benefits) that encompass the new BAS implementation phase.

Throughout this RFP, ETF refers to awarding of the contract as if that award were a given. In fact, ETF reserves to itself the right to reject all proposals and to make no award whatsoever or to partially award.

A.2.22 CONTRACT TERM AND FUNDING

The contract term for providing the consulting services will commence on the contract start date and shall extend for seven (7) years. During that initial term, the vendor may escalate any proposed support costs by up to 2% per annum. The Department retains the option by mutual agreement of the Department and the successful proposer to extend the contract for two (2) additional three (3)-year periods.

Cost increases for any contract renewals may be capped at the rate of inflation (annual percentage CPI for the last contract year for which the CPI was calculated) or 2% per annum (whichever is lower) unless justified by the contractor and otherwise agreed to by the Department.

A.2.23 CRIMINAL BACKGROUND VERIFICATION

ETF follows the provisions in the *Wisconsin Human Resources Handbook Chapter 246, Securing Applicant Background Checks:*

http://oser.state.wi.us/docview.asp?docid=6658)

The vendor is expected to perform background checks that, at a minimum, adhere to those standards. This includes the criminal history record from the Wisconsin Department of Justice (DOJ), Wisconsin Circuit Court Automation Programs (CCAP), and other state justice departments for persons who have lived in a state(s) other than Wisconsin. More stringent background checks are permitted. Details regarding the vendor's background check procedures should be provided to ETF regarding the measures used by the vendor to protect the security and privacy of program data and participant information. A copy of the result of the criminal background check the vendor conducted must be made available to ETF upon its request. ETF reserves the right to conduct its own criminal background checks on any or all employees or contractors of and referred by the vendor for the delivery or provision of services.

A.2.24 FINANCIAL STABILITY VERIFICATION

High scoring vendors may be asked to substantiate their financial stability. This includes furnishing a copy of the company's audited financial statements or financial statement compilations from the last four years. The Department reserves the right to request additional information to verify the vendor's financial status.

A.2.25 BUSINESS ASSOCIATE AGREEMENT

A Business Associate Agreement must be agreed to and signed by the winning vendor. The intention of the Agreement is to comply with the federal regulations implementing the Health Insurance Portability and Accountability Act of 1996 (HIPAA) concerning the privacy, security and

transaction standards on the confidentiality of personal information. A sample Business Associate Agreement is located in Attachment F.7 Sample Business Associate Agreement.

A.2.26 SINGLE SOURCE OF RESPONSIBILITY

Joint ventures shall not be acceptable for the performance of this contract. A single prime contractor will be responsible for the successful delivery of all contracted deliverables and services, including subcontractors' efforts. Multiple (alternate) proposals from a single vendor will not be accepted. Companies being proposed as subcontractors by multiple vendors will also not be allowed.

ETF is seeking a single source for all activities relating to the new benefits administration system implementation. The vendor (prime contractor) shall be granted the right to subcontract a portion of the work but shall retain sole responsibility for the successful delivery of all contracted deliverables. The vendor (prime contractor) must be designated in the proposal, and any use of subcontractors must be clearly explained. All references in this RFP to the contractor, vendor, vendor, bidder, or successful vendor, vendor, bidder, etc. shall be construed to encompass both the vendor (prime contractor) and all subcontractors and infer the single source of support as the vendor (prime contractor).

If the use of subcontractors is planned, the proposal must specifically identify the tasks that each subcontractor is to perform. All subcontractor staff in key positions must meet the same qualifications for experience specified for the prime contractor. Resumes must be included for these key subcontractor staff. The proposal must also include sample copies of any agreements to be executed between the prime contractor and any subcontractors in the event of contract award. All subcontracting agreements must be signed at the time of contract award, and executed copies provided to ETF for review prior to the execution of a contract with the prime contractor. Proprietary or confidential information may be redacted in the copies provided to ETF. Prior to contract execution, ETF reserves the right to reject any subcontractor or the specific agreement between contractor and subcontractor.

All vendors must list in their proposals the complete names and addresses of all subcontractors and the type and percentage of work each subcontractor will be providing. Proposals must include a signed, written statement from any proposed subcontractors verifying their commitment to perform the services indicated to be completed by them. Failure to identify subcontractors may be grounds to find the prime contractor in breach of contract.

Substitution of any proposed subcontractor is allowed only after prior written permission is received from the ETF Project Director.

A.3 GENERAL TERMS AND CONDITIONS

Below we include general terms and conditions that further expand on the Standard and Supplemental Terms and Conditions that appear in Appendix E.2 Standard Terms and Conditions (DOA-3054) and Appendix E.3 Supplemental Standard Terms and Conditions for Procurements for Services (DOA-3681).

A.3.1 RFP AMENDMENTS

ETF reserves the right to amend the RFP prior to the date of proposal submission. Amendments will be posted to the ETF Web site at the following address:

http://etfextranet.it.state.wi.us/

A.3.2 PROPOSAL MODIFICATION OR WITHDRAWAL

Vendors who submit proposals in advance of the deadline may withdraw, modify, and resubmit proposals at any time prior to the deadline for submitting proposals. Vendors must notify the ETF Point of Contact, as identified in Section A.2.1, in writing if they wish to withdraw their proposals. If a vendor notifies ETF of its intent to withdraw its bid prior to the bid closing deadline, the bid will be returned to the vendor unopened. Notifications of intent to withdraw proposals may be delivered electronically via email, but responsibility for confirmation of the delivery and receipt by ETF rests solely with the vendor.

A.3.3 COST FOR PREPARING PROPOSALS

The costs for preparation and delivery of the proposal, as well as any other costs incurred in the pursuit of contract award (e.g., travel to the vendor conference, preparation and presentation of product demonstrations), are the sole responsibility of the vendor. ETF will not provide reimbursement for such costs.

A.3.4 CONTRACT

The contract that ETF expects to award as a result of this RFP will be based upon the bid proposal submitted by the successful vendor and this RFP. The contract between ETF and the successful vendor shall be a combination of the specifications, terms and conditions of this RFP, including the terms contained in this Part A of the RFP, the vendor's technical and cost proposals, written clarifications or changes made in accordance with the provisions herein, and any other terms deemed necessary by ETF.

Any exceptions to the contract must be clearly identified and explained and accompany the vendor's proposal. Vendors are cautioned that any exception submitted that will give the Vendor an unfair competitive advantage over another vendor or that will cause a failure to meet a mandatory requirement of the RFP may not be accepted. See Section D.1.1 Technical Proposal Format for instructions relating to presentation of vendor's assumptions and exceptions.

Prior to award, the apparent winning vendor will be required to enter into discussions with ETF to resolve any contractual differences before an award is made. These discussions are to be finalized and all major impediments to contract execution resolved within two weeks of the start of

negotiations; if not, the vendor's proposal may be rejected and discussions may be initiated with other vendors.

By submitting a proposal, each vendor acknowledges its acceptance of these specifications, terms and conditions without change except as otherwise expressly stated in its proposal.

A.3.5 ORDER OF PRECEDENCE

The executed contract between ETF and the selected vendor shall have precedence over all other documents relating to the project. The documents listed below shall be incorporated into the contract by reference. In the event that there is a conflict or ambiguity within the text of the contract and any other incorporated documents, the order of precedence shall be:

1. The executed contract including any addendum(s) or other agreements generated/negotiated through the contracting process.
2. Amendments to this RFP (if any), including the questions received and the answers provided as part of the Mandatory Vendor Conference (prior to submission of proposals)
3. This RFP including all attachments and appendices
4. Any Best and Final Offer (BAFO) submitted by the successful vendor
5. Additional clarifying responses from selected vendor including the ETF questions about the submitted response)
6. Vendor response to this RFP

A.3.6 PROJECT BUDGET

ETF has an estimated budget of $28,500,000 for the BAS project items outlined in this RFP. The expectation is that the vendor will provide all product and project components listed in the RFP (with the exception of those listed as Mandatory Options in Section C.9), including at least:

- Necessary commodity software
- All specified project functionality
- Implementation services (including installation, configuration, testing, training, documentation, support, etc.)
- Warranty

as specified in this RFP for a price equal to or less than the estimated budget amount.

The vendor must clearly disclose in Section B-1.3 of their technical proposal any of ETF's requirements or functionality that will be omitted from their proposed solution in their effort to meet ETF's BAS Project Budget. Further, the vendor must provide the cost associated with each of the omitted items in Schedule 10 of their Cost Proposal. If proposer remains silent on any exclusion, ETF expects the proposer is able to deliver every item in the RFP at or below that budgeted amount.

We provide this estimated budget number, not so that all respondents return cost proposals that exactly match our proposed budget, but so that proposers understand ETF'S expectations with respect to functionality and to cost. Our expectation is that in a competitive bidding situation such as this, proposers will strive to propose the lowest cost bid commensurate with the solution they are proposing.

A.3.7 INVOICING, PAYMENTS, HOLDBACKS, AND TRACKING THEREOF

Although it is understood that many project deliverables will be submitted to ETF by the selected vendor, the number of payments made will be limited to those payment points identified in Table 5, below. Figure 1 is provided as an example to assist vendors in understanding the scope of the contractual deliverables and the timing of the related payments[1]. It illustrates the sequence of the contractual deliverables against which payments will be made.

Following the diagram, Table 5 explains each contractual deliverable and its acceptance criteria. In the example provided, assuming there will be no change orders, there may be a total of seventeen contractual payment points (fourteen for the core product and three for various support options should they be selected). Put another way, there are:

- **Eight (8) contractual Payment Points** (identified in Table 5 as Payment Points 1, 2, 9, 10, 14, 15, 17, and 18)
- **Two (2) Payment Points for each of the functional rollouts** proposed by the vendor (identified in Table 5 as Payment Points 3-8 for the depicted three functional rollouts. One of the two payments for a functional rollout will be associated with putting the functionality into production and another following 60 days' use of the functionality in production[2])
- **Four (4) Payment Points for optional support and currently undefined Change Orders** (identified in Table 5 as Payment Points 11, 12, 13, and 16).

Vendors will note that there is a significant difference between ETF's receipt of a contractual deliverable and ETF's acceptance of that deliverable. Only upon receipt by the vendor of written acceptance from ETF's Project Director, may the contractual deliverable be invoiced to ETF. All invoices must include a copy of the signed acceptance(s) by ETF.

Payments of all invoices by ETF will be made within 30 days of receipt of the invoice for an accepted contractual deliverable.

Each services invoice submitted to ETF by the vendor must reflect a 15% holdback amount.

The successful vendor will provide a monthly, updated spreadsheet indicating what has been billed (and when), what has been paid (and when), what invoices may be in dispute, and the remaining project budget. The format of this tracking spreadsheet and the detail will be reviewed and approved by ETF. Invoice dates, invoice numbers, purchase order numbers and any pertinent comments. must be included.

Upon acceptance of the final rollout of the system by ETF's Project Director, the vendor will submit an invoice which includes one-half the sum of all holdback amounts for payment by ETF. Vendors are cautioned that *when* ETF's final acceptance of the system will occur cannot be pre-defined. Acceptance will not be forthcoming until the solution is delivered in final form – that is to say, not until all Requirements Traceability Matrix line items have been accepted **and** all documentation is updated to reflect the "as-built" condition of the system **and** all authorized change orders have been completed **and** all "punch lists" have been resolved to ETF's satisfaction. As noted in the later

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[1] Note that the diagram and the subsequent table contain three functional rollouts, Phases 4a, 4b, and 4c. As noted elsewhere in the RFP, the vendor is free to suggest as few or as many functional rollout phases as they feel are appropriate. Three were selected here only for illustrative purposes.

[2] This stipulation applies whether there is a phased rollout or not since even an implementation with but a single rollout must have one rollout (and consequently two payments).

discussion on key project staff in Section C.6.4.6 the vendor's project manager cannot be reassigned until this point in the project.

Upon the conclusion of the warranty period (12 months after ETF's acceptance of the final rollout), the vendor will submit an invoice which includes the remainder of all holdback amounts for payment by ETF.

The vendor should bear in mind the following terms:

- The **"firm fixed price"** will be defined in the contract resulting from this procurement based on the mandatory BAS requirements and the **selected** (authorized) option areas.
- All prices quoted must be good for a period of one hundred eighty (180) days after the submission due date to ETF.

In their response vendors must complete the Proposed Payment Schedule provided in the table below. **Please ensure that only the first three columns are completed for the version of the table that is placed in the Technical Response** (costs will be identified and all six columns completed in the version of the table that is placed in the Cost Proposal **only**). The vendor must indicate and justify to ETF the percentage of the total project cost allocated to each of the payments and a portion of the overall evaluation score will be based on the vendor's justification. Note that depending on the proposed support scenario, one or more of the later payment points may be zero. Note as well that although payment for Change Orders may occur during the project, the vendor is not to factor them into the overall fixed cost of the project.

Table 4 Proposed Payment Schedule

PAYMENT NUMBER	DESCRIPTION	PERCENTAGE OF TOTAL COST	GROSS AMOUNT	RETAINAGE (15%)	NET AMOUNT
SERVICE-RELATED PAYMENTS					
1	Work Plan (Phase 1)				
2	Top Level Requirements (Phase 2)				
3	1st Functional Rollout into Production (Phase 4a)				
4	1st Functional Rollout – 60-Day Acceptance (Phase 4a)				
5	2nd Functional Rollout into Production (Phase 4b)				
6	2nd Functional Rollout – 60-Day Acceptance (Phase 4b)				

PAYMENT NUMBER	DESCRIPTION	PERCENTAGE OF TOTAL COST	GROSS AMOUNT	RETAINAGE (15%)	NET AMOUNT
7	3rd Functional Rollout into Production (Phase 4c)				
8	3rd Functional Rollout – 60-Day Acceptance (Phase 4c)				
9	Application Warranty				
10	Application Warranty – PIRs completed				
11	Support Period 1 – Parallel to Warranty				
12	Support Period 2 – On-going Post Warranty				
13	Other Post-Warranty Support				
14	Release of first ½ of holdback				
15	Release of second ½ of holdback				
16	Change Order(s)				
NON-SERVICE-RELATED PAYMENTS					
17	Infrastructure (Phase 3)				
18	License Fee (if applicable)				
Total					

Figure 1 Benefits Administration System Life Cycle, Acceptance Criteria, Payment Points

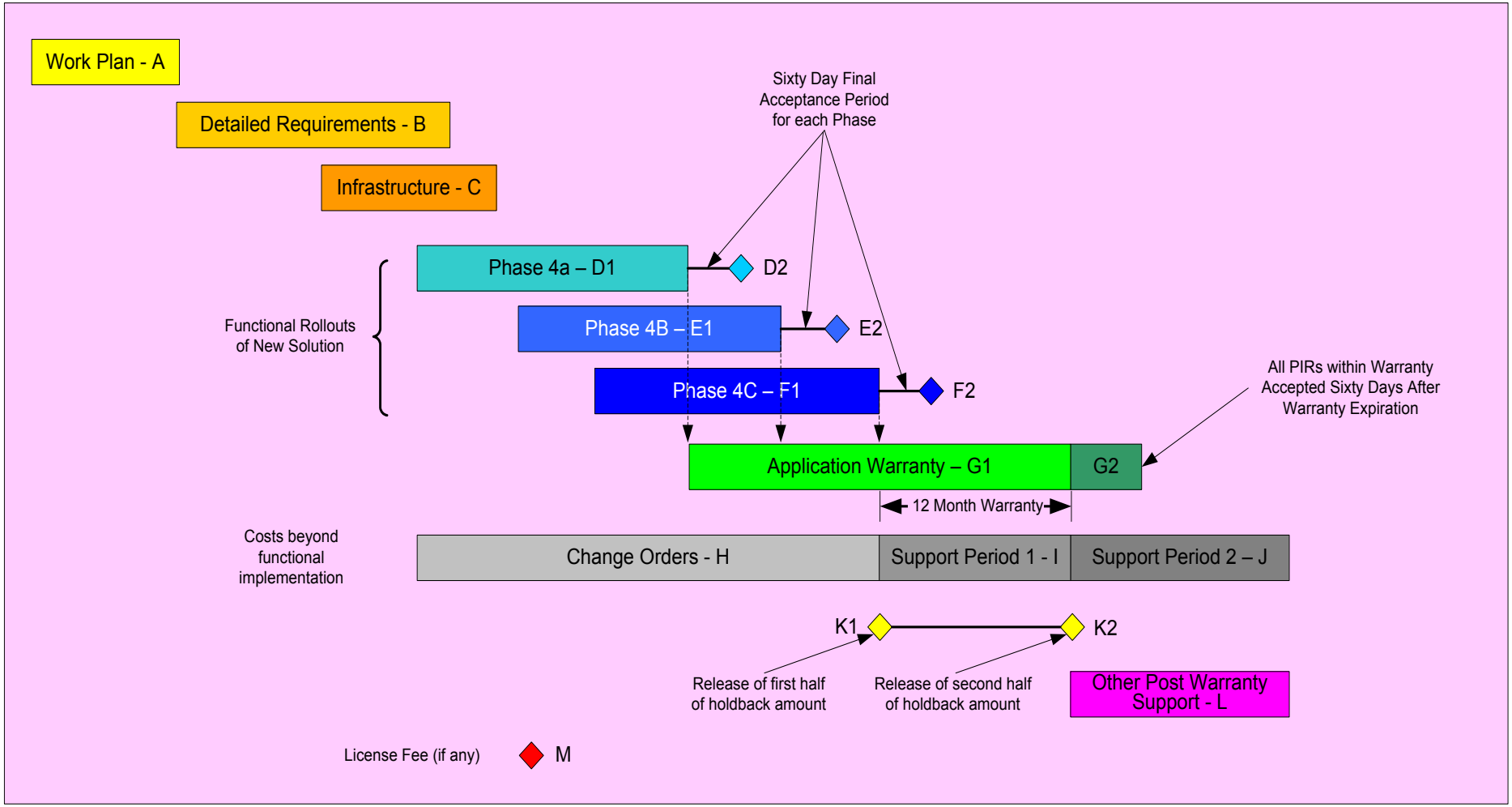


Table 5 Benefits Administration System Implementation Life Cycle, Acceptance Criteria, Payment Points

REF	TITLE	DESCRIPTION	ACCEPTANCE CRITERIA	PAYMENT #
A	Work Plan (Phase 1)	Acceptance of complete detailed project work plan (and other documents).	Complete and comprehensive project plan reviewed, revised, and accepted by ETF.	Payment 1
B	Top-level Requirements (Phase 2)	Complete more-detailed requirements documented.	Base system installed and demonstrated to achieve requirements definition; completion of Joint Application Development sessions (JADs) and the next level down, more detailed definition of requirements; documents reviewed, revised, and accepted by ETF. Initial, comprehensive conference room pilot must be completed.	Payment 2
C	Infrastructure (Phase 3)	Infrastructure installed.	All infrastructure installed, configured, documented, and labeled; all warranty and maintenance information documented and turned over to ETF staff; all software licenses in ETF's name; upgrade, maintenance, and configuration control plans delivered and accepted by ETF; detailed performance monitoring scheme agreed to and in place; see M below.	Payment 17 (Actual Software License Costs)
D-1	Phase 4a - Into Production	Phase 4a in production.	Phase 4a in production; all phase 4a data converted and cleaned; data bridging procedures in place; user acceptance testing completed; life cycle testing completed; all user training completed; data cleansing/conversion audit report complete and accepted by ETF; no critical PIRs (Problem Incident Reports) open; fewer than 5 high level PIRs open.	Payment 3
D-2	Phase 4a – 60 Day Acceptance	Satisfactory completion of 60 day usage for Phase 4a.	60 days after Phase 4a in production and being used; no major problems; all critical and high level PIRs (as defined in response to Section C.6.3.8 of this RFP) closed that were identified up to 30 days before go live closed (D-1); an acceptable plan in place to resolve additional ones identified in the last 60 days.	Payment 4

REF	TITLE	DESCRIPTION	ACCEPTANCE CRITERIA	PAYMENT #
E-1	Phase 4b - Into Production	Phase 4b in production.	Phase 4b in production; all phase 4b data converted; data bridging procedures in place; user acceptance testing completed; life cycle /conference room pilot testing completed; all user training complete; data cleansing/conversion audit report complete and accepted by ETF; no critical PIRs open; fewer than 5 high level PIRs open.	Payment 5
E-2	Phase 4b – 60 Day Acceptance	Satisfactory completion of 60 day usage for Phases 4a and 4b.	60 days after Phase 4b in production and being used; no major problems; all critical and high level PIRs closed that were identified up to 30 days before go live closed (E-1); an acceptable plan in place to resolve additional ones identified in the last 60 days.	Payment 6
F-1	Phase 4c - Into Production	Phase 4c in production.	Phase 4c in production; all phase 4c data converted; user acceptance testing completed; life cycle /conference room pilot testing completed; all user training complete; data cleansing/conversion audit report complete and accepted by ETF; no critical PIRs open; fewer than 5 high level PIRs open.	Payment 7
F-2	Phase 4c – 60 Day Acceptance	Satisfactory completion of 60 day usage for Phases 4a, 4b, and 4c.	60 days after Phase 4c in production and being used; no major problems; all critical and high level PIRs closed that were identified up to 30 days before go live closed (F-1); an acceptable plan in place to resolve additional ones identified in the last 60 days.	Payment 8
G-1	Application Warranty	Warranty period completed.	All support necessary provided; all PIRs identified prior to start of Phase 5 Warranty resolved; no critical PIRs open; plans developed and agreed upon to close out all remaining PIRs within 60 days. No more PIRs will be reported after the end of this period. Includes application, operational, and infrastructure support. All agreed upon upgrades provided, e.g., software, tax tables, federal reporting.	Payment 9
G-2	Application Warranty – PIRs completed	Warranty closure.	Resolution of all remaining PIRs.	Payment 10

REF	TITLE	DESCRIPTION	ACCEPTANCE CRITERIA	PAYMENT #
H	Change Orders	On-going.	Identification and resolution of issues that are out-of-scope from project inception until the conclusion of last phase of rollout. Ends contemporaneously with the end of the rollout of the last phase into production. Work is scoped by vendor, agreed to by ETF, then executed, tested, and then accepted.	Payment 16 (TBD)
I	Support Period 1	Parallel-to-Warranty Support.	Optional application, operational, and infrastructure support not covered by warranty; identified as to scope, level of effort, and fees.	Payment 11
J	Support Period 2	On-going support – post warranty.	Continuing optional support analogous to item I in the post-warranty period	Payment 12
K-1	Release of Initial Holdback	Release of Initial Holdback.	Satisfactory compliance with contract performance through rollout of the last phase to go into production; resolution and completion of RTM (punch list) items; identification of how remaining items will be closed; see K-2	Payment 14 (½ of the agreed upon holdback amount)
K-2	Release of Remainder of Holdback	Release of Remainder of Holdback.	Completion of <u>all</u> RTM items.	Payment 15 (½ of the agreed upon holdback amount)
L	Other Post Warranty Support	Other support.	Post warranty support – delivered by vendor according to their business model including: updates, upgrades (base software, configuration changes/updates/upgrades, customizations); delivered and priced according to vendor business delivery model.	Payment 13
M	License Fee	Payment of License Fee for BAS solution software (if any)	BAS Application installed, configured, and operating in “out-of-the-box” mode (though it may not yet be customized for ETF)	Payment 18

A.3.8 CONFLICT OF INTEREST

If a vendor has any existing client relationship(s) that involve the State of Wisconsin or ETF that would compromise its objectivity, the vendor must disclose such relationship(s).

In addition, ETF has retained LRWL Inc. (LRWL) to provide Independent Validation & Verification and Quality Assurance services through the course of this project. The vendor should identify any pre-existing business relationships or legal proceedings it has that involve LRWL either directly or as a third party.

The vendor shall sign and submit with the proposal Attachment F.1 Proposal Cover Page (DOA 3261) in which the vendor shall certify that it developed the bid proposal independently ETF reserves the right to reject a proposal or cancel the award if, in its sole discretion, any relationship exists or will exist that could interfere with fair competition or conflict with the interests of ETF.

A.3.9 CONFIDENTIALITY REQUIREMENTS

The staff members that are assigned by the successful vendor to this project – be they employees of the vendor, sub-contractors to the vendor or sub-contractor, or employees of sub-contractors – will be required to sign a non-disclosure statement – see Attachment F.7 Sample Business Associate Agreement.

A.3.10 INSURANCE

The following requirements shall be adhered to by Contractor throughout the duration of the Contract, and as may otherwise be specified herein. Contractor shall procure and maintain insurance, which shall protect the Contractor and the State from any claims for bodily injury, property damage, and/or personal injury, which may arise out of operations under the Contract. Contractor shall procure the insurance policies at the Contractor's own expense and shall furnish the State an insurance certificate of the coverage required in this Section. Contractor is required to obtain and maintain the following types of insurance coverage for the duration of the Contract:

INSURANCE / LIMITS OF LIABILITY:

- Maintain worker's compensation insurance as required by Wisconsin Statutes, for all employees engaged in the work.
- Unemployment Insurance – Statutory
- Maintain commercial liability, bodily injury and property damage insurance against any claim(s) which might occur in carrying out this agreement/contract. Minimum coverage shall be one million dollars ($1,000,000) liability for bodily injury and property damage including products liability and completed operations. Provide motor vehicle insurance for all owned, non-owned and hired vehicles that are used in carrying out this contract. Minimum coverage shall be one million dollars ($1,000,000) per occurrence combined single limit for automobile liability and property damage.
- Liability, Malpractice, and/or Errors and Omissions Insurance – The contractor shall maintain malpractice and/or an errors and omissions insurance policy in the amount of at least $1,000,000. Additionally, the contractor shall maintain adequate business insurance to include an umbrella liability policy of at least $3,000,000 total. Coverage under these policies must include protection from the fraudulent conduct and breach of fiduciary responsibility of the contractor.

- The state reserves the right to require higher or lower limits where warranted.

All vendors must submit within ten (10) calendar days after notification of intent to award the original or a certified true copy of insurance certificate(s) confirming coverage as stipulated above. If this information is not provided within this time frame, the proposal will be rejected. All insurance coverage costs must be exclusive of any legal costs.

New insurance shall be promptly furnished in the event of insolvency, bankruptcy or failure of any insurance company. The contractor shall notify ETF thirty (30) days in advance of cancellation, termination or alteration of insurance policies as required by this RFP. A renewal policy or certificate shall be delivered to ETF at least thirty (30) days prior to the expiration date of each expiring policy. If at any time, any of the policies shall be or become unsatisfactory to ETF as to form or substance, or any of the carriers issuing such policies shall be or become unsatisfactory to ETF, the Contractor shall promptly obtain a new and satisfactory policy in replacement. If determined necessary by ETF's Representative/Contract Administrator, the Contractor shall deliver to ETF's Representative upon demand a certified copy of any policy required herein for review.

Insurance certificates must be submitted and accepted by ETF prior to the commencement of work under this RFP and accompanying contract. Failure to obtain insurance satisfactory to ETF may result in the rescission of any Notice of Award to the vendor. Any contract awarded may be void if this requirement is not met.

A.3.11 ADHERENCE TO ETF WORKPLACE POLICIES

It is anticipated that a number of vendor staff will be on-site. Any such vendor staff must first agree in writing to adhere to the following workplace policies, as well as any applicable workplace policies developed and approved by ETF prior to the completion of the project:

Building Access and Connection to ETF Network – In addition, any staff that work on-site shall be subject to ETF Building Access Policy, see Appendix E.25 Security and Confidentiality Agreement. The ETF Project Director is responsible for allocating building and equipment access, as well as any other necessary services available from ETF that may be used by the vendor. Any use of ETF facilities, equipment, internet access, and/or services shall only be for project purposes as authorized by the ETF Project Director. The vendor will provide its own personal computers, which must comply with ETF security policies before connection to ETF's local network.

The policies indicated below are applicable to vendors working on site. ETF will supply copies of these policies to the selected vendor (and to any vendor upon request):

1. Employee Handbook (Sections Applicable to Vendors):
   - *Section 5* - Safety & Accident Prevention
   - *Section 7* - Work Rules & Code of Ethics
   - *Section 11* - Building Management
   - *Section 14* - ETF Work Policy Statements:
     - 14B - Break room/Kitchenettes Usage and Cleaning Policy
     - 14C - Building Access Cards and Room/Furniture Key Policy
     - 14D - Communicable Diseases and Life-Threatening Medical Conditions Policy
     - 14E - Information Security Policy
     - 14F - Confidential Waste Disposal Policy

- 14H - Electronic Mail (E-Mail) Policy
- 14O - Internet Usage Policy
- 14T - Workspace Policy
- 14U - Zero Tolerance Policy for Threats to Departmental Employees
- 14V - Harassment Policy
- 14W -Criminal Background Check Policy
- 14Y - ETF Employee Concealed Carry Policy

- *Section 15* - Work Directives:
  - 15A - Work Attire Directive
  - 15B - Fragrance Free Work Directive

2. Other Policies Applicable to Service Providers:
   - HIPAA Privacy Policies and Procedures
   - Data Security Policies:
     - Auditing Policy
     - Data Classification Policy
     - Logging Policy
     - Computer and Information Security Incident Response Policy

A.3.12 OWNERSHIP OF WORK PRODUCT AND INTELLECTUAL CAPITAL

ETF will have all ownership rights to hardware and software, or modifications thereof, as well as associated documentation designed, developed, or installed. All data, technical information, materials gathered, originated, developed, prepared, used, or obtained in the performance of the contract, including, but not limited to, all reports, surveys, plans, charts, literature, brochures, mailings, recordings (video and/or audio), pictures, drawings, analyses, graphic representations, software computer programs and accompanying documentation and print-outs, notes and memoranda, written procedures and documents, regardless of the state of completion, that are prepared for or are a result of the services required under this contract shall be and remain the property of the ETF and shall be delivered to the ETF upon 30 days' notice by the ETF. With respect to software computer programs and/or source codes developed for the ETF, the work shall be considered "work for hire," i.e., the ETF, not the contractor or subcontractor, shall have full and complete ownership of all software computer programs and/or source codes developed.

All work products and deliverables produced under contracts awarded as a result of this bid will be the exclusive property of the ETF. This includes, but is not limited to, software, documentation, and development materials. A vendor shall not sell a work product or deliverable produced under a contract awarded as a result of bids without explicit permission from the ETF. If so desired, ETF reserves the right to call upon vendor for specific projects related to the BAS implementation as needed.

ETF's ownership interest in both the BAS and the source code delivered, for the base components of the BAS solution, the customized elements of the BAS solution and the enhancements provided to each through post-implementation, out year support, is a license to use them in perpetuity.

The vendor's proposal must clearly describe the terms of all licensing considerations, such as an End User License Agreement.

A.3.13 INDEMNIFICATION AND LIABILITY RESTRICTIONS

The vendor will indemnify ETF against liability for any suits, actions, or claims arising from or relating to performance of the vendor under this contract.

ETF has no obligation to provide legal counsel or defense to the vendor if a suit, claim, or action is brought against the vendor or its sub-contractors as a result of the vendor's performance of its obligations under the contract. In addition, ETF has no obligation for the payment of any judgments or the settlement of any claims against the vendor as a result of the vendor's performance of its obligations under the contract. The vendor shall immediately notify ETF of any claim made or suit filed against the vendor resulting from the vendor's obligations under the contract. The vendor will cooperate, assist, and consult with ETF in the defense or investigation of any claim made or suit filed against ETF resulting from the vendor's performance under the contract.

ETF will not indemnify the vendor for any reason associated with the vendor's performance under this contract. ETF has not waived any right or entitlement to claim sovereign immunity under this contract.

The vendor agrees to indemnify and hold ETF, its Chief Executive Officer, managers, Board, Benefits Advisory Committee, elected and appointed officials, and employees harmless from any and all liabilities, damages, settlements, judgments, costs and expenses, including reasonable attorney fees of ETF staff or of the Wisconsin Attorney General's Office, and the costs and expenses and attorney fees of other counsel ETF may retain, related to or arising from:

Property damage, personal injury, death, loss costs, expense or other harm arising out of, resulting from, relating to or connected with any act or omission by the vendor, its divisions, subsidiaries, subcontractors, partners, principals, employees, agents, elected or appointed officials, officers and directors in fulfilling this contract; or

Claims for infringement of patents, trademarks, trade dress, trade secrets, or copyrights arising from this contract; or any breach or any claimed breach of this contract by the vendor or by any of its subcontractors, partners, principals, officers, directors, employees and agents.

A.3.14 NEGOTIATIONS WITH SUBCONTRACTOR

In order to protect ETF's interests, ETF reserves the right to attempt to resolve any contractual disagreements that may arise between the vendor and its subcontractor(s) after award of the contract.

A.3.15 ETF OPTION TO TERMINATE WITHOUT CAUSE

ETF expects to complete the project with a single vendor. However, ETF may at any point, at its sole discretion and with no penalty, terminate the project, with such termination to be effective at the scheduled end of the phase in which the notice of termination is received by the vendor. This option to terminate the project does not contemplate termination for cause or breach of contract as set forth at Section A.3.18 and in Part III of the Business Associate Agreement (Attachment F.7).

Should ETF elect to terminate the project under this section, the termination shall be subject to the following terms and conditions:

- ETF shall communicate the notice of termination to the vendor in writing. Termination under this section shall become effective at the scheduled end of the phase in which the notice of termination is communicated to the vendor, provided that the notice is received by the vendor at least 60 days prior to the scheduled end of the project phase. If the notice is not received by the vendor at least 60 days prior to the scheduled end of the project phase, the termination will be effective at the scheduled end of the subsequent project phase. Up to the time of project termination, ETF may revoke a notice to terminate that has been sent to the vendor, provided both ETF and the vendor agree in writing to revoke the notice of termination
- ETF shall only be liable for payment of an amount equal to the costs allocated to the phases that were completed and accepted by ETF; ETF shall not be liable for any other cost, overhead, profits, or damages
- ETF's election to terminate under this section shall not be considered for cause or for default, and notice of termination under this section shall not constitute an admission or accusation of any wrongdoing on the vendor's part in connection with the termination
- Upon ETF's decision to terminate and the subsequent termination under this section, and except as otherwise provided in this section, below, ETF and the vendor shall each execute a covenant not to sue and a general release of all claims or potential claims, including those for costs, profits, liabilities, or damages, as of the date of termination
- Vendor agrees that upon termination under this section, vendor will, pursuant to Section A.3.16, return to ETF, or if return is not feasible, destroy all ETF information and materials in any form, received from or created on behalf of ETF
- ETF may sue vendor for failure to return or destroy ETF information, materials and data, as required by this section.

A.3.16 RETURN OR DESTRUCTION OF ETF INFORMATION AND MATERIALS

Upon termination for any reason, cancellation, expiration, or conclusion of the project, vendor will return to ETF, or if return is not feasible, destroy all ETF information and materials in any form, received from or created on behalf of ETF. ETF information includes, without limitation, any original files and other materials, all copies, including unauthorized copies, of such materials in all media, including portions of originals or copies, devices, records, data, notes, reports, proposals, letters, specifications, drawings, equipment and other materials. This provision applies to all ETF information that is in the possession of subcontractors or agents of vendor. Vendor agrees to follow the requirements in Subsection D of Part III of the Business Associate Agreement (see Attachment F.7) regarding return or destruction of Protected Health Information when complying with the return or destruction of ETF information and materials pursuant to this section.

A.3.17 BREACH OF CONTRACT, CURE, AND TERMINATION

ETF has the right to terminate the Contract if the vendor, by pattern or practice, materially breaches any provision of this Contract. Neglect, failure, or refusal to perform the terms of this contract shall constitute a material breach, consequent to which ETF may pursue recovery of liquidated damages and/or any other amounts due under the terms of the Contract.

ETF may provide the Vendor with an opportunity to cure the material breach. If these efforts to cure are unsuccessful, as determined by ETF in its sole discretion, ETF may terminate the Contract as soon as administratively feasible and pursue recovery of liquidated damages and/or any other amounts due under the terms of the Contract.

A.3.18 TERMINATION AND DAMAGES FOR NONPERFORMANCE

It is agreed by ETF and the contractor that in the event that the contractor fails to submit or complete a system project initiative mutually agreed to by the parties in writing to be designated as such, in accordance with any date specifically agreed to by the parties in writing to be a firm performance date in the project plan for such system project initiative, damage may be sustained by ETF.

Liquidated damages are prescribed in this section because it will be impracticable and extremely difficult to ascertain and determine the amount of damages that ETF will incur as a result of the contractor's failure to submit or complete a system project initiative as mutually agreed to by the parties in writing. The damages are intended to be a reasonable estimate of ETF's anticipated financial loss and damage and not as a penalty.

It is, therefore, agreed that the contractor may be required to pay, beginning on the first day of a firm performance date identified in the project plan for a system project initiative, liquidated damages for each business day of failure to submit or complete a system project imitative mutually agreed to by the parties in writing, in the amount of $_____ for each business day and every business day until such system project initiative is submitted or completed as mutually agreed, or a total amount of $_____ for failure to submit or complete such system project initiative as mutually agreed.

These damages are assessed at ETF's sole discretion and shall be in addition to, not in lieu of, the rights of ETF to pursue other appropriate remedies. ETF may choose to deduct the amount of liquidated damages from any moneys payable to or that may become payable to the contractor under this agreement.

PART B CURRENT OPERATING ENVIRONMENT

B.1 CURRENT ETF ENVIRONMENT

The sections that follow detail ETF's current benefits administration capabilities, current organization, and the supporting technical environment.

B.1.1 OVERVIEW OF ORGANIZATION AND FUNCTIONS

The sections below provide a history of the organization and describe the plans, divisions, organization, and functional responsibilities of the organization that is ETF.

B.1.1.1 HISTORY

The Department of Employee Trust Funds (ETF) was created in 1967. However, the concept of providing retirement benefits to Wisconsin's public employees began in 1891 when the legislature enacted Chapter 287 to provide retirement protection and security for police officers and fire fighters in Milwaukee, primarily because of the public safety work they did.

Numerous changes have occurred in the past 100 years. Today nearly all public employees are assured of retirement protection. The history, however, of the evolution of retirement protection for Wisconsin's public employees falls into two phases: (1) the first 56 years from 1891 to 1947 when many public employers established separate systems, and (2) the years from 1948 to the present when plans consolidated. It was during the last phase that public employee retirement systems merged to form one system, the Wisconsin Retirement System (WRS), now managed by ETF.

Following the pension plan established for Milwaukee police and fire, other municipalities recognized the importance of giving the same protection to their police and fire fighters. In 1907, the legislature adopted legislation that enabled other municipalities to establish retirement systems for their public safety employees, and about 60 small individual systems began in the following years.

Milwaukee established the first retirement plan for public teachers after Chapter 510, Laws of 1909, created the Milwaukee Teachers Annuity and Retirement Fund. Participation in the fund was initially voluntary but later became mandatory. Chapter 322, Laws of 1911, created a statewide retirement plan for all teachers who taught in the other public school systems, including normal schools and the state university system. A series of changes to the statewide plan and its governing boards took place over the ensuing years. Chapter 511, Laws of 1951, clarified the governing and investment structure, renamed the plan the State Teachers Retirement System (STRS), and created one governing board to oversee the plan.

The first pension system providing retirement protection to any state employees, other than university teachers, covered conservation wardens after enactment of Chapter 227, Laws of 1935. Eight years later, the legislature created the Wisconsin Municipal Retirement Fund (Chapter 175, Laws of 1943) for all non-Milwaukee local employees and the State Employees Retirement Fund for state employees (Chapter 1976, Laws of 1943).

Between 1935 and the late 1940s, the legislature created a number of separate systems for Milwaukee County and City of Milwaukee employees. Chapters 201 and 396, Laws of 1937, created the first county and city employee retirement systems for workers other than Milwaukee police and fire.

By the mid-1940s, approximately 75 separate employee retirement systems operated in Wisconsin. Members of the legislature, taxpayer groups and pension experts expressed concerns about the haphazard, uncoordinated growth of public pension systems. Questions also arose about the financial solvency of the smaller systems.

To study the issue, the legislature created the Joint Legislative Interim Committee on Pensions and Retirement Plans in Wisconsin. The committee issued its report in early 1947 and recommended consolidating and merging the public pension systems.

The first phase of a lengthy process commenced by closing the old systems to new municipal employees and putting new employees under a consolidated umbrella. Since they still had participants, the smaller systems continued to operate for their existing participants. As people retired, however, the systems eventually merged with the umbrella system. All newly hired non-teachers who worked for county, municipal and state employers, except Milwaukee, became members of the Wisconsin Retirement Fund (WRF). This move eventually consolidated the separate small police, fire and warden funds into the WRF.

The next step occurred in 1951 when Chapter 511, Laws of 1951, abolished the three separate public schools, normal school, and university retirement boards originally created in 1921. The act also abolished the State Annuity and Investment Board created in 1929. In their place, the legislature established the State Teachers Retirement Board, which covered all teachers and the State of Wisconsin Investment Board (SWIB).

The public pension system then consisted of the WRF, the State Teachers Retirement System (STRS), the Milwaukee Teachers Retirement System (MTRS) and the two systems for Milwaukee City and Milwaukee County employees.

The legislature created ETF in 1967 (Chapter 75, Laws of 1967), and it operated under the direction of a seven-member board that was responsible for managing STRS and WRF.

Chapter 280, Laws of 1975, initiated the final step toward merger. To ensure a financially sound retirement system, the legislature combined the STRS, MTRS and WRF into one system called the Wisconsin Retirement System (WRS).

In 1977, Chapter 182 merged the remaining police and fire department retirement systems outside Milwaukee into the WRS. The full implementation of merger took place under Chapter 96, Laws of 1981. It created a Teachers Retirement Board and a similar Wisconsin Retirement Board for non-teachers. The purpose of the two boards is to advise the ETF Board, the primary policymaking board.

Since 1977, there have been many changes made to the legislation governing the benefits offered and administered by ETF. The implementation of those changes within the multiple applications ETF uses for benefits administration has become increasingly difficult. For a complete description of the WRS, see the Information Paper on the Agency web site:

http://legis.wisconsin.gov/lfb/publications/Informational-Papers/Documents/2013/83_Wisconsin%20Retirement%20System.pdf

The WRS is one of the largest retirement systems—public or private—in the United States and even the world. ETF keeps track of service and earnings for the 578,000 plus WRS participants and administers all benefits. The State of Wisconsin Investment Board (SWIB) invests all contributions that employers and employees make to the system.

B.1.1.2 SPECIFIC ETF PROGRAMS

The Department of Employee Trust Funds administers a number of specific programs. They are listed below and described in the sections that follow:

- Wisconsin Retirement System (WRS)
- Three Life Insurance Programs:

- Active Member Life Insurance
- State Retiree Life Insurance
- Local Government Retiree Life Insurance

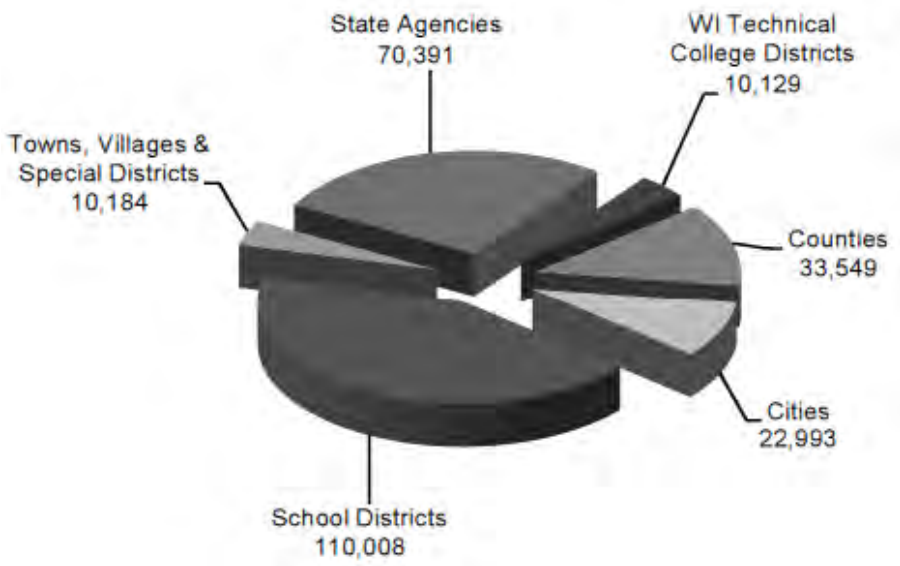
- Group Health Insurance (17 different carriers)
- Accumulated Sick Leave Conversion Credit
- Four Disability Insurance Programs
  - Disability Retirement
  - Duty Disability Insurance
  - Income Continuation Insurance
  - Long Term Disability Insurance
- Employee Reimbursement Accounts
- Commuter Benefits
- Various Optional Plans, e.g., Vision, Dental, Long Term Care

B.1.1.2.1 WISCONSIN RETIREMENT SYSTEM (WRS)[3]

The Wisconsin Retirement System (WRS) pays retirement, disability, and death benefits to former employees, and their beneficiaries, of the state and participating local governments in Wisconsin. Wisconsin public employers are eligible to participate in the WRS. The system covers employees of the State of Wisconsin, employees of local government employers who elect to participate, and Milwaukee Public School District teachers. Employees of the City of Milwaukee and Milwaukee County are covered under different pension systems. Some employers are required by law to participate in the WRS (e.g. all state agencies and all Wisconsin school districts). For other public employers, participation is optional. An employer's resolution to participate in the WRS is irrevocable. As of December 2011, 27% of all employees were state government employees and 73% were local government employees. In 2012, the total number of employers participating in the WRS was 1,511 – see Appendix E.6 ETF Employers.

[3] All statistical information in this section of the RFP is taken from the (unpublished at the time of the RFP release) 2011 CAFR. The single exception is the data concerning quantity and names of employers.

Figure 2 ETF Participation by Employer Type



There were 581,893 WRS participants as of December 31, 2011. Participants include 257,254 active government employees, 171,516 retirees and others receiving annuities; and 153,123 "inactives," or former public employees who have not yet taken a benefit from their retirement accounts. To put the WRS growth in perspective, the total participation level has risen by 78,352 persons since 2001, a 15.6% increase.

Table 6 below shows the Total number of participants in WRS and how those totals have grown over the past ten years. Of particular interest is the significantly greater rate of increase of annuitants when compared to the increase in the number of active members.

Table 6 Total WRS Participants

YEAR	ACTIVE	INACTIVE	ALTERNATE PAYEES	ANNUITANTS	TOTAL PARTICIPANTS
2001	263,883	124,194	3,322	112,142	505,542
2002	266,350	123,419	3,426	116,289	511,486
2003	265,160	121,902	3,391	121,582	514,038
2004	264,600	126,461	3,494	126,211	522,770
2005	263,122	132,145	3,599	131,674	532,545
2006	262,856	138,879	3,706	137,117	544,564
2007	263,381	141,002	3,769	142,906	553,065
2008	265,721	143,471	3,837	144,033	559,070
2009	267,293	144,424	3,929	150,671	568,326
2010	266,629	145,803	4,012	155,775	574,229
2011	257,254	153,123	4,063	167,453	581,893

When an employee becomes a WRS participant, the employee is enrolled into one of four participant categories based on the job classification. Table 7 below shows a breakdown of the four categories:

Table 7 Distribution of Active Employee Participant Categories

CATEGORY	NUMBER OF MEMBERS
General	233,465
Elected Officials and Appointed State Executives	1,437
Protective with Social Security Coverage	19,634
Protective without Social Security Coverage	2,718

General employees include public school teachers (about 34% of total generals), university faculty (about 5%), and other general employees such as employees of state agencies (the remaining 61%).

B.1.1.2.2 THREE LIFE INSURANCE PROGRAMS

There are three life insurance programs at ETF; they cover three distinct segments of the membership.

1. ACTIVE MEMBER LIFE INSURANCE PLAN

The Active Member Life Insurance Plan provides life insurance coverage for current employees of the State of Wisconsin and participating local governments in Wisconsin.

49,482 active state employees and 75,117 active local government employees participated in the Active Member Life Insurance Plan in 2011. Many of these employees participated in additional and supplemental coverage in addition to basic coverage.

2. STATE RETIREE LIFE INSURANCE PLAN

The State Retiree Life Insurance Plan provides fully paid up life insurance benefits for post-age 64 retired employees of the State of Wisconsin. Pre-age 65 retirees pay premiums equivalent to comparably-aged active participants. Post-age 64 retirees receive a reduced benefit without payment of premium.

8,191 pre-age 65 retirees and 17,847 post-age 64 retirees participated in the State Retiree Life Insurance Plan in 2011.

3. LOCAL GOVERNMENT RETIREE LIFE INSURANCE PLAN

The Wisconsin Public Employers Group Life Insurance Program provides post-retirement benefits for insured local government employees that qualify to continue life insurance upon retirement. Insurance will automatically continue for retirees under age 65 without any reduction in their insurance and the premium rates for retirees are the same as for employees. When an insured retiree reaches age 65, Supplemental and Additional insurance will end. The Basic Plan will continue at a reduced amount and there is no further cost to the insured retiree

10,597 pre-age 65 retirees and 23,956 post-age 64 retirees participated in the Local Government Retiree Life Insurance Plan in 2011.

TOTAL LIFE INSURANCE COVERAGE

The table below shows the total pre- and post-retirement life insurance for both state and local employee populations. Total annual paid benefits exceed $30 million with over $26 billion of coverage in force.

Table 8 Life Insurance Program Contracts and Participants

YEAR	PRE-RETIREMENT BASIC	PRE-RETIREMENT SUPPLEMENTAL	PRE-RETIREMENT ADDITIONAL	POST RETIREMENT	SPOUSE AND DEPENDENTS	TOTAL CONTRACTS	TOTAL PARTICIPANTS
State							
2001	53,735	39,752	21,949	12,489	24,513	152,438	56,224
2002	55,359	40,663	23,096	12,809	24,994	156,921	68,168
2003	56,087	41,003	23,721	13,112	25,064	158,987	69,199
2004	56,437	41,095	24,202	13,392	25,077	160,203	69,829
2005	56,594	41,049	24,474	13,720	24,583	160,420	70,314
2006	57,137	41,358	25,120	14,148	24,575	162,338	71,285
2007	57,907	41,813	25,851	14,729	24,762	165,062	72,636
2008	58,668	42,246	26,444	15,431	24,796	167,585	74,099
2009	59,045	42,467	26,959	16,034	25,145	169,650	75,079
2010	58,070	41,840	26,805	16,584	25,008	168,307	74,654
2011	57,673	41,247	26,503	17,847	23,446	166,716	75,720
Local							
2001	81,733	15,478	27,380	16,560	34,885	176,036	98,293
2002	83,438	16,604	29,106	16,841	35,453	181,442	100,279
2003	83,716	18,128	30,192	17,305	35,366	184,707	101,021
2004	83,598	18,901	30,926	17,750	35,710	186,885	101,348
2005	84,180	20,882	31,986	18,421	36,075	191,544	102,601
2006	84,928	21,753	32,904	19,187	36,395	195,167	104,115
2007	86,623	23,712	33,994	19,926	36,861	201,116	106,549
2008	87,150	24,444	34,430	20,912	36,905	203,841	108,062
2009	87,616	25,128	35,114	21,787	36,940	206,585	109,403
2010	86,828	25,336	35,257	22,671	36,340	206,432	109,499
2011	85,714	26,155	34,768	23,956	35,036	205,629	109.670

B.1.1.2.3 GROUP HEALTH INSURANCE PROGRAM

The Group Health Insurance Program pays for the purchase of health insurance coverage and health insurance claims for current employees of the State of Wisconsin and participating local governments in Wisconsin. State Retiree and Local Retiree Health Insurance pay for the purchase of health insurance coverage and health insurance claims for retired employees of the State of Wisconsin and retired employees of participating local governments in Wisconsin, respectively. In total, there are 20 health or self-insured plans, including a pharmacy benefit program.

The state Group Health Insurance Program covered 70,656 active employees, 378 continuants, and 25,010 retired State of Wisconsin employees at the end of 2011, about 204,000 persons when all covered dependents are included. The total amount of annual health insurance premiums for all participants was $1,316 million.

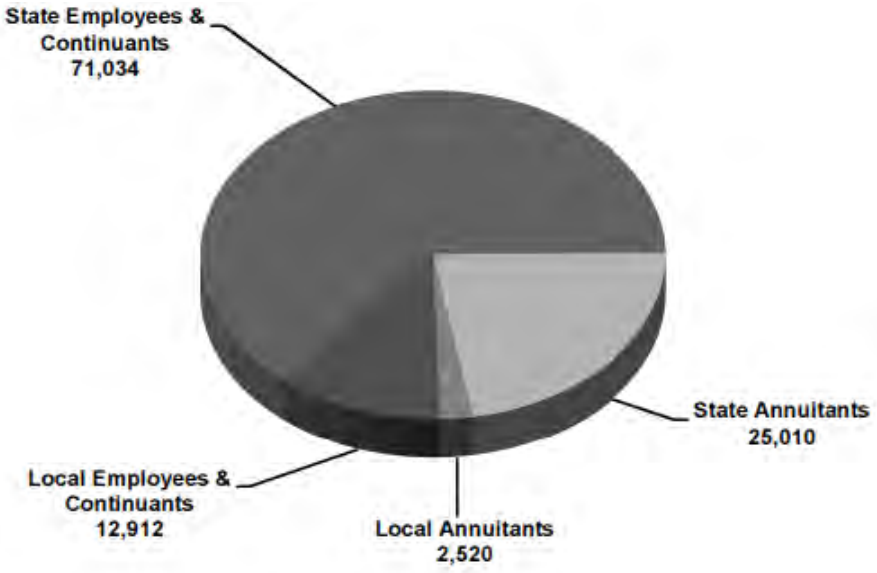
The Wisconsin Public Employers Group Health Insurance Program covered 12,826 active, 86 continuants, and 2,520 retired participants. With their dependents, the total number of people covered was approximately 36,000. Annual premiums paid totaled $220 million.

Table 9 Group Health Insurance Contracts

YEAR	EMPLOYEES	CONTINUANTS	ANNUITANTS				TOTALS
			DEDUCTION	CONVERSION	DIRECT PAY	SUB-TOTAL	
STATE							
2001	64,619	0	9,588	8,503	0	18,901	82,710
2002	68,090	0	9,751	8,904	0	18,655	86,745
2003	68,755	0	9,664	9,061	0	18,725	87,480
2004	68,758	0	9,519	9,258	0	18,777	87,535
2005	68,093	0	9,531	9,646	0	19,177	87,270
2006	68,688	0	9,468	10,105	0	19,573	88,261
2007	70,119	0	9,427	10,417	0	19,844	89,963
2008	71,925	0	9,433	10,825	0	20,258	92,183
2009	71,924	590	11,112	11,288	0	22,400	94,914
2010	72,313	478	9,179	11,788	1,732	22,699	95,490
2011	70,656	378	9,126	14,157	1,727	25,010	96,044
LOCAL							
2001	9,101	0	1,525	0	0	1,525	10,626
2002	9,929	0	1,629	0	0	1,629	11,558
2003	11,124	0	1,794	0	0	1,794	12,918
2004	11,669	0	1,787	0	0	1,787	13,456
2005	11,902	0	1,812	0	0	1,812	13,714
2006	11,973	0	1,927	0	0	1,927	13,900
2007	11,777	0	1,871	0	0	1,871	13,648

YEAR	EMPLOYEES	CONTINUANTS	ANNUITANTS				TOTALS
			DEDUCTION	CONVERSION	DIRECT PAY	SUB-TOTAL	
2008	12,159	0	1,873	0	0	1,873	14,032
2009	12,398	88	2,557	0	0	2,557	15,043
2010	12,700	89	2,258	0	225	2,483	15,272
2011	12,826	86	2,284	0	236	2,520	15,432

Figure 3 Distribution of Health Plan Participation



B.1.1.2.4 ACCUMULATED SICK LEAVE CONVERSION CREDIT (ASLCC) PROGRAM

The ASLCC (supplemented by the SHICC – see Definition of Terms in Appendix E.1) allows retirees of the State of Wisconsin, University of Wisconsin (UW), and University Hospital, at the time of their retirement, to convert the value of their unused sick leave accumulation into an account to be used to pay for post-retirement health insurance. Sick leave is also converted upon layoff or death and when state employees are approved for certain disability benefits, etc. SHICC provides additional converted sick leave credits to pay state health insurance premiums after the ASLCC account is used.

There were 85,756 ASLCC participants as of December 31, 2011. Participants include 66,533 active employees, 14,121 retirees and others using ASLCC credits; and 5,102 “escrowed annuitants” or former employees who had not yet started using credits from their ASLCC accounts.

B.1.1.2.5 FOUR DISABILITY PROGRAMS

ETF administers the first two listed programs (Disability Retirement and Duty Disability) in-house and outsources the administration of the other two to a third party. Regardless of the source of administration, all four programs require on-going case management by in-house (ETF) staff.

1. DISABILITY RETIREMENT

ETF administers a disability retirement program that has 4,000 current annuitants and annual paid benefits in excess of $140 million.

2. DUTY DISABILITY INSURANCE PROGRAM

ETF also administers in-house a Duty Disability Insurance program that pays special disability benefits to protective occupation participants in the WRS. The program currently covers 22,352 employees and pays benefits to 905 recipients.

Table 10 Duty Disability Insurance Principal Participating Employers

	2011		2002	
PARTICIPATING GOVERNMENT	COVERED EMPLOYEES	PERCENTAGE OF TOTAL SYSTEM	COVERED EMPLOYEES	PERCENTAGE OF TOTAL SYSTEM
State of Wisconsin	8,354	37.4%	8,071	38.0%
City of Madison	799	3.6%	663	3.1%
Dane County	431	1.9%	412	1.9%
City of Green Bay	364	1.6%	382	1.8%
City of Kenosha	346	1.5%	333	1.6%
City of Racine	338	1.5%	362	1.7%
Brown County	291	1.3%	280	1.3%
City of West Allis	234	1.0%	253	1.2%
City of Waukesha	211	0.9%	199	0.9%
City of Appleton	199	0.9%	202	1.0%
All Other	10,785	48.3%	10,069	47.4%
Total (504 employers)	22,352	100.0%	21,226	100.0%

3. INCOME CONTINUATION INSURANCE (ICI) PROGRAM

ICI pays disability benefits for 5,600 employees of the State of Wisconsin and nearly 8,000 employees at the participating local governments in Wisconsin who enroll in the program. Employee premiums are based on sick leave accumulation and/or the waiting period selected. Currently annual paid benefits exceed $35 million for 4,500 recipients.

4. LONG-TERM DISABILITY INSURANCE (LTDI) PROGRAM

LTDI annually pays $24 million in disability benefits to 1,659 current recipients.

B.1.1.2.6 EMPLOYEE REIMBURSEMENT ACCOUNTS (ERA) PROGRAM

The ERA Program reimburses qualifying medical and dependent care expenses for employees of the State of Wisconsin who sign up for pre-tax payroll deductions.

At the end of 2010, the participants in the ERA program had created 12,856 accounts. Employees created 2,166 dependent care accounts and 11,428 medical expense accounts. The ERA Program allows state employees to establish pre-tax reimbursement accounts for medical care expenses not covered by insurance and for dependent child or adult care expenses. Total salary reductions were $22 million ($8.5 million for dependent care and $13.5 million for medical expenses). Reductions in FICA tax from this program saved the state an estimated $1.7 million in 2011, with combined FICA and income tax savings of an estimated $5.9 million realized by participants.

B.1.1.2.7 COMMUTER BENEFITS PROGRAM

The Commuter Benefits Program reimburses qualifying transportation expenses for employees of the State of Wisconsin who sign up for pre-tax payroll deductions.

Participation in the Commuter Benefits Program changes from month to month. As of December 31, 2011, the program had 1,229 participants.

B.1.1.2.8 OPTIONAL INSURANCE PLANS

ETF also oversees employee pay-all optional insurance plans that are authorized by the Group Insurance Board for payroll deduction of premiums. These plans, shown in the table below, are administered by the state agencies that choose to offer them. ETF provides coordination, technical assistance, and monitoring, but has no role in processing enrollment, premiums, benefits, or grievances. The exception is that ETF administers premium payments through annuity deduction for VSP annuitants only.

Table 11 Optional ETF-Administered Plans

PLAN	2011 ENROLLEES	ANNUAL PREMIUMS	ANNUAL CLAIMS
Vision (VSP)	15,000	$ 1.7 M	$ 1.4 M
Dental (Anthem Dental Blue)	8,000	$ 3.1 M	$ 2.8 M
Dental, Medical, Hospital, Vision, AD&D (EPIC)	17,700	$ 6.7 M	$ 4.7 M
Dental Wisconsin	5,400	$ 2.5 M	$ 2.1 M
Dental, Medical, AD&D (Hartford)	5,800	$ 0.5 M	$ 0.1 M
Long Term Care (HealthChoice, United of Omaha)	850	$ 1.5 M	$ 0.001 M

B.1.1.3 ETF GOVERNANCE

ETF's mission is "to develop and deliver quality benefits and services to our customers while safeguarding the integrity of the Trust." ETF administers retirement, health, life, income continuation, long-term disability, and long-term care insurance programs, along with an employee reimbursement accounts program, commuter benefits program, and a deferred compensation plan. ETF also administers retirement disability coverage and serves as the state's designated coverage agent for Social Security for Wisconsin public employers. There are five different statutory boards with responsibilities for programs operated by the Department. The ETF Board is both the overall

governing body for the Department and the general policy-setting and trustee board for the entire WRS.

All insurance programs are administered through contractual arrangements with private sector insurance firms and service corporations. Participation by eligible employees is mandatory for retirement and Social Security (except firefighters) but optional for the other programs. ETF collects but does not invest the trust fund monies created for these programs.

ETF is responsible for:

- Collecting all monies due the trust funds.
- Calculating and ensuring appropriate disbursement of all benefit payments from the trust funds.
- Providing information to, and answering inquiries from, participating employees and employers.
- Establishing the controls, systems, and procedures necessary to ensure the appropriate administration and security of the trust.

The descriptions of the responsibilities of the five statutory boards are as follows:

1. EMPLOYEE TRUST FUNDS BOARD (13 MEMBERS)

This board sets policy for ETF; appoints the ETF Secretary; approves tables used for computing benefits, contribution rates and actuarial assumptions; authorizes all annuities except for disability; approves or rejects ETF administrative rules; and generally oversees administration of the benefit programs, except group insurance and deferred compensation. State law sets ETF Board membership criteria, with some members appointed by the Teachers Retirement Board (TR Board) and the Wisconsin Retirement Board (WR Board). The ETF Board has established three committees to assist the Board in fulfilling its fiduciary and oversight responsibilities: an Executive Committee, an Audit Committee and a Budget and Operations Committee. The Executive Committee oversees the effective operation of Board and other Committee meetings and will review personnel matters relating to the Department and the Secretary. The Audit Committee reviews the adequacy and effectiveness of the Department's system of internal controls, including those relating to information technology systems, and the Department's accounting and financial reporting systems. The Budget and Operations Committee reviews the biennial budget process as well as the Department's strategic business and information technology planning activities.

2. WISCONSIN RETIREMENT BOARD (9 MEMBERS)

The WR Board advises the ETF Board on matters relating to retirement; approves or rejects administrative rules; authorizes or terminates disability benefits for non-teachers; and hears appeals of disability rulings. This board appoints four members to the ETF Board and one non-teaching participant to the State of Wisconsin Investment Board.

3. TEACHERS RETIREMENT BOARD (13 MEMBERS)

The TR Board advises the ETF Board on retirement and other benefit matters involving public school, technical college, state and university teachers; acts on administrative rules and authorizes or terminates teacher disability benefits and hears disability benefit appeals. Nine of the 13 members are elected. This board appoints four members to the ETF Board and one teacher participant to the State of Wisconsin Investment Board.

4. GROUP INSURANCE BOARD (11 MEMBERS)

This board sets policy for the group health, life, and income continuation insurance plans for state employees and the group health, life, and income continuation insurance plans for local employers who choose to offer them. The board also can provide other insurance plans, if employees pay the entire premium.

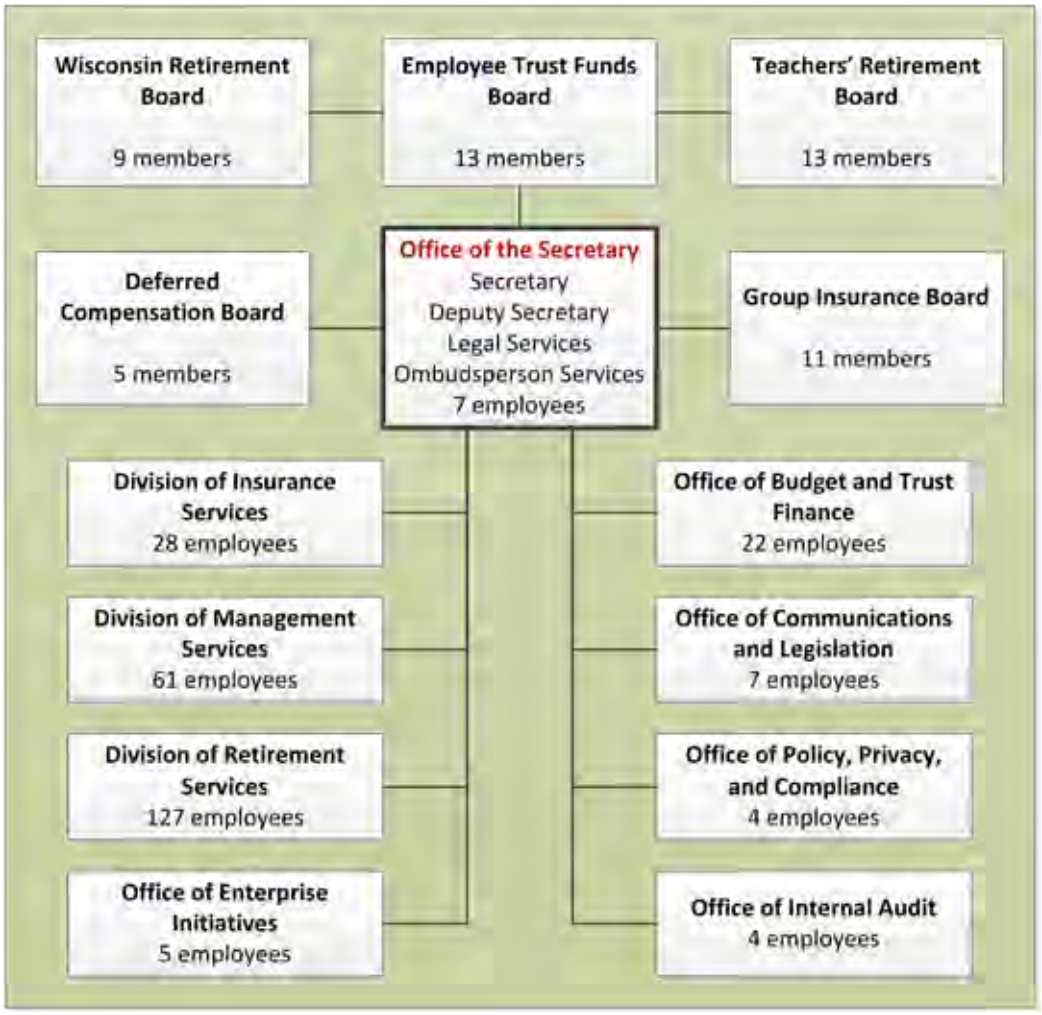
5. DEFERRED COMPENSATION BOARD (5 MEMBERS)

This board sets policy, contracts with investment and administrative service providers, and oversees administration of the Wisconsin Deferred Compensation Program (WDC). The board is responsible for establishing criteria and procedures for selecting and evaluating investment options offered by the WDC and hears WDC-related appeals. The Governor, with senate confirmation, appoints all board members; there are no statutory requirements for appointments.

B.1.1.4 ETF'S FUNCTIONAL DIVISIONS AND THEIR RESPONSIBILITIES

The organization of ETF, falling as it does under the Employee Trust Funds Board, contains three functional service divisions and a number of individual offices. There are 260.2 full-time equivalent (FTE) staff positions within ETF. ETF is a non-cabinet and non-partisan agency.

Figure 4 Department of Employee Trust Funds Organizational Chart



The Department has three Divisions (Management Services, Insurance Services, and Retirement Services) and five offices (Enterprise Initiatives; Policy, Privacy and Compliance; Communications and Legislation; Internal Audit; and Budget and Trust Finance). The Division Administrators and Office Directors report to the Secretary's Office. The work directly specific to administration of the benefits and insurance (those who will be most directly affected by a new BAS) is done primarily in one of the three service divisions, in the Office of Budget and Trust Finance (OBTF), or in the Ombudsperson Services group within the Secretary's Office. In addition, the Office of Enterprise Initiatives, in that it houses the Project Management Office (PMO) functions of the organization, will also be directly involved in the BAS implementation.

B.1.1.4.1 DIVISION OF INSURANCE SERVICES

The Division of Insurance Services is responsible for the negotiation and administration of insurance, disability and administrative contracts for Group Health Plan providers, Income Continuation Insurance (ICI), Long-Term Disability Insurance (LTDI), 40.65 and 40.63 disability, Standard Health Plan, Employee Reimbursement Account Plan and Group Life Insurance Plan.

The division is divided into three bureaus with a total of 28 employees. The Bureaus are described below.

B.1.1.4.1.1 HEALTH BENEFITS AND INSURANCE PLANS BUREAU

Health Benefits and Insurance Plans Bureau is responsible for all policy and administrative functions related to health insurance, life insurance, employee reimbursement account, and the long-term care insurance programs; the Accumulated Sick Leave Conversion Account, and optional payroll deduction plans. This includes the following functions:

- Providing knowledgeable input to fiscal note preparation and development of administrative rules
- Participating in administrative services procurement, subsequent contract negotiations and contract monitoring
- Monitoring proposed, pending and enacted federal or state legislation, regulations and rules that affect insurance and disability benefit programs
- Identifying and recommending best practices in disease management, prevention and wellness programs
- Developing program statistics and program performance evaluation reports
- Providing technical expertise and making recommendations to others in insurance benefit matters including program operation and application of laws, rules and contracts
- Developing information provided to insured participants including the publications for the annual enrollment period for changing health insurance plans.

The Bureau consists of a manager and eight staff positions.

B.1.1.4.1.2 DISABILITY PROGRAMS BUREAU

The Disability Programs Bureau is responsible for policy development and administrative oversight of disability programs including: disability retirement programs under 40.63; Duty Disability program under 40.65; Long-Term Disability Insurance programs; and the Income Continuation Insurance (ICI) plans. Functions include:

- Providing knowledgeable input to fiscal note preparation and development of administrative rules
- Participating in administrative services procurement and subsequent contract negotiations
- Developing program statistics and program performance evaluation reports
- Providing technical expertise and making recommendations to others in all disability matters including program operation and application of laws, rules and contracts
- Evaluating disability applications for completeness, eligibility, and health and life insurance continuation
- Preparing benefit approval, denial, termination and suspension recommendations
- Computing and auditing disability benefits for correct payment level and for continuing payments
- Evaluating medical evidence submitted for disability benefit. Works with Department Legal Counsel by participating in the appeal process
- Providing detailed information, advice and counsel to applicants, personal representatives.

The Bureau includes a manager, a supervisor, and eight staff positions.

B.1.1.4.1.3 INSURANCE ADMINISTRATION BUREAU

The Insurance Administration Bureau is responsible for the enrollment and eligibility of ETF administered benefit programs for health insurance and pharmacy benefits, life insurance, and the ICI programs. Functions include:

- Designing, developing, implementing, and maintaining automated business systems for the Division, including myETF Benefits
- Developing and providing training for members and employers participating in the ETF-administered benefit programs including Health Insurance, Life Insurance, and ICI
- Handling enrollment and eligibility inquiries for health, life, and ICI
- Invoice adjustments for health insurance
- Reconciling health insurance enrollment data with myETF Benefits
- Managing and coordinating the new employer process to participate in the insurance benefit programs, processing employer resolutions.

The Bureau includes a manager, a supervisor, and five staff positions.

B.1.1.4.2 DIVISION OF MANAGEMENT SERVICES

The mission of the Division of Management Services is to provide effective administrative and support services to all ETF work units and staff, so they can carry out their missions. External customers (employers, participants, retirees and job applicants) are also served.

Policy direction, program management and services are provided in the following areas:

- All human resource programs
- Facility management (space, safety, parking, building security and maintenance, and recycling)
- Telecommunications
- Supply and mail services (mail management, copy services, office supplies and forms, and staff car maintenance and scheduling)
- Capital budget coordination and risk management
- Records management
- Library management
- Board liaison services
- Continuity of Operations Plan (COOP) development and maintenance
- Organizational analysis
- Information Technology Services

The Management Services Division includes a manager, a deputy manager, the Chief Information Officer and a total of 62 staff members. Those of the Division's work teams, bureaus and sections whose work will be directly affected by the BAS are described briefly below.

B.1.1.4.2.1 FACILITY/TELECOMMUNICATIONS/COOP

Staff in this area provides oversight and direction for the following:

- Facility responsibilities include acting as a liaison with ETF's landlords
- Coordinating office design activities and employee workspace moves and addressing maintenance concerns
- Coordinating ETF's capital equipment planning process
- Safety officer services include investigating accidents, communicating safety information, overseeing ETF's emergency program, conducting safety inspections, resolving problems
- Security officer and parking services include answering security questions
- Overseeing and issuing building access cards, room keys and parking permits
- Telecommunications manager responsibilities include coordinating Department telecommunication functions
- Communicating pertinent telecommunications policies and procedures to staff, managing the data in the telephone database, coordinating all voice mail functions, and providing training as necessary
- Risk management services include ensuring that all property is accounted for and properly insured
- Evaluating and development of response plans and exercises for crisis, emergency response and continuity of operations.

Staff includes a manager and two staff members.

B.1.1.4.2.2 OFFICE SERVICES BUREAU

The Office Services Bureau includes the Records Management Section, Supply and Mail Services (SAMS) Section and the ETF Library. The Bureau Director oversees all Bureau functions and serves as the agency's Records Officer. Functions and responsibilities of each section are described below.

B.1.1.4.2.2.1 SUPPLY AND MAIL SERVICES SECTION

SAMS manages the following functions:

- Manage postage budget, process and deliver all incoming/outgoing mail (U.S., special, inter- and intra-Departmental mail, UPS, FedEx, Airborne, etc.)
- Maintain inventory and issue Departmental forms, keep usage records, and initiate reorders.
- Order, receive, inventory and distribute office supplies
- Provide photocopy service, help staff with copiers, maintain copiers including taking readings, and write quick copy orders when appropriate
- Resolve operating or service problems on calculators, fax machines and copiers
- Maintain and schedule state-leased fleet cars
- Prepare and distribute participant information packets for the member services and benefit payment sections.

Staff within SAMS includes a supervisor and six staff members.

B.1.1.4.2.2.2 RECORDS MANAGEMENT SECTION

The Records Management Section ensures imaged records are accurate and available for all participant and employer files. Functions include:

- Prep, scan and index incoming participant and employer documents
- Recall records stored at the State Records Center
- Maintain an inventory of ETF and statewide Records Retention/Disposition. Provide folder reprints; fiche copies; historical account information; certified copies of records
- Develop, update and coordinate the Department record's program
- Coordinate the transfer of paper, computer cartridge, microfiche and personal computer diskettes, CDs and DVDs to the State Records Center.

Staff within the Records Management Section includes a supervisor and five staff members.

B.1.1.4.2.2.3 ETF LIBRARY

The library is open to all ETF employees. The Librarian responsibilities include:

- Maintain a current report of all record series systems within the Department
- Maintain and organize the library including: acquisitions, circulations, routing print and electronic journals and cataloging
- Maintain the legislative history file, which is a permanent file of every bill introduced in the legislature that affects ETF or one of its programs.

B.1.1.4.2.3 BUREAU OF INFORMATION TECHNOLOGY SERVICES

The Bureau of Information Technology Services includes several application development and computer science sections. The Bureau is responsible for efficient and cost-effective utilization of hardware and application software for various computer platforms including mainframe, network and desktop systems. This includes developing and maintaining large, complex, custom designed information systems, support of vendor software, feasibility studies, planning, and technical services for office automation.

The primary systems that staff develop and support include:

- Wisconsin Employee Benefits System (WEBS)
- Benefit Payment System (BPS)
- Lump Sums Payment System (LSPS)
- Imaging/Workflow (Content Manager / Step2000)
- Call & Service System (CallSS)
- Accumulated Sick Leave (AcSL) System
- Health Insurance (myETF Benefits)
- Domestic Partner System
- Intranet – staff.etf.state.wi.us (FRED)
- Public Home Page – www.etf.wi.gov
- Variable Participation System

- Employer Access and Employer Training Registration – (ONE site):

  http://etfonline.wi.gov/etf/internet/employer/one.html

- Self-Help Calculators and WRS Rates Display

The Information Technology Services Bureau includes the Chief Information Officer, a deputy and a total of 34 positions 80% of which are state FTEs. The remaining 20% are contractor/LTE.

The sections' responsibilities are described below.

B.1.1.4.2.3.1 APPLICATIONS DEVELOPMENT SECTION

The Applications Development Section provides support to meet the needs and requirements of internal and external customers for enterprise business applications. The primary functions and activities of the bureau are to provide successful information technology solutions that maximize the efficient utilization of the Department's hardware and software investments in support of customer services. This includes applying application technology throughout the Department to enhance and improve program outcomes and communication.

Responsibilities include:

- Conduct evaluations of existing systems
- Identify information technology systems and applications that meet the needs of the Department and its organizational units
- Perform feasibility and cost benefit analysis studies and makes recommendations and presentations to management on best solutions
- Ensure compliance with current Department information technology policies and standards and establishes policies, standards, and procedures for all new technology applications and systems
- Interview and interacts with agency staff and management to determine new or changing informational needs
- Provide application development and support services for new and existing systems, which may include documentation, plans, and implementation of applications or systems including design specifications, coding, testing, conversion, implementation, and training for users
- Coordinate and interacts with business users to provide software that meets enterprise requirements for the efficient processing of ETF workload responsibilities, as well as supporting the annual processing cycle of the agency.

The three Applications' Section include three supervisors, 15 staff positions, and nine contract programmers.

B.1.1.4.2.3.2 COMPUTER SCIENCE SECTIONS

These sections provide infrastructure support for server hardware, OS, desktops, network, database, security, and helpdesk technical support services for ETF's information technology needs and to further the goals and initiatives of ETF and the state as a whole. The sections' responsibilities include:

- Maintaining the data dictionaries to document data, programs, screens and report definitions, usage and formats
- Developing physical database design based on logical design

- Establishing and carrying out all procedures necessary to backup and recovery production databases
- Processing computer and dataset access requests
- Developing, implementing, monitoring and enforcing security policies and procedures
- Implementing, managing and supporting all LAN and WAN activity
- Implementation and administration services for all server hardware and operating systems
- Account administration services. Includes but is not limited to, account creation, application security administration, monitoring and reporting, file system administration, email account administration, password support, etc.
- Establishing procedures and providing backup and recovery services for ETF servers
- Managing ETF's network firewall, infrastructure of Cisco switches hubs and routers
- Responding and initiating corrective action on calls reported to ETF's help desk. The helpdesk supports 300 staff and contractors, over 1500 Employers and 19 Health Plans
- Managing and supporting all end users' desktop environments.

The Computer Science section includes a supervisor and 13 staff positions.

B.1.1.4.3 DIVISION OF RETIREMENT SERVICES

The Division of Retirement Services (DRS) provides benefit related services to active, former and retired government employees, and to state and local units of government in Wisconsin. It is responsible for issuing lump sum and monthly payments to members, beneficiaries, etc. The Division administers nine major benefit programs including retirement plans (WRS and the Wisconsin Deferred Compensation Program), life insurance, health insurance, disability estimates, and accumulated sick leave conversion.

The Division consists of two program units (Deferred Compensation; and Policy and System Implementation) and three Bureaus (Member Services Bureau, Benefits Services Bureau, and Employer and Contact Services Bureau). Each of these is described below.

The Division includes a manager and deputy and has a total of 127 employees.

B.1.1.4.3.1 POLICY AND SYSTEM IMPLEMENTATION

This unit leads the division policy analysis functions, proposes and drafts proposed legislative initiatives and administrative rules, analyzes proposed legislation initiated outside the Department to determine how it would affect operations, and develops policy studies for the Office of the Secretary in conjunction with OPPC. This unit also partners with IT and PMO staff for the design, development, implementation, and maintenance of automated business systems related to DRS business processes, as well as monitoring and troubleshooting developed systems. Also, this unit and the Division Administrator administer the State's Section 218 agreement, which determines social security coverage for public employees in Wisconsin.

B.1.1.4.3.2 DEFERRED COMPENSATION

The Deferred Compensation Director is responsible for directing the administration of the Wisconsin Deferred Compensation Program (WDC) as well as drafting RFPs and contracting with a third-party administrator to carry out day-to-day operations. The position also drafts RFBs for annual financial statement audits and periodic contract compliance audits. The Director is the primary advisor to the Wisconsin Deferred Compensation Board which oversees the administration of the WDC.

B.1.1.4.3.3 MEMBER SERVICES BUREAU

The Member Services Bureau's functions include explaining benefits to members, education and outreach to the 570,000 active, inactive and retired members in the WRS including retirement and death benefits, health insurance, life insurance, disability benefits, and the sick leave conversion program. The Bureau annually conducts over 4,700 face-to-face meetings, and provides over 21,000 written retirement and disability benefit estimates. The Bureau also provides group presentations to over 12,000 members through field presentations per year. Services provided by the Bureau include:

- Determining benefit eligibility
- Individual face-to-face meetings with members via appointments or walk-ins
- Small group appointment sessions throughout the State
- Preparation of benefit estimates
- Written or verbal responses to WRS member inquiries on retirement and insurance benefit plans.

The Member Services Bureau is divided into four sections and includes a manager, four supervisors, and 43 staff positions.

B.1.1.4.3.4 BENEFIT SERVICES BUREAU

The Benefit Services Bureau provides services to over 169,000 retirees; pays $4.06 billion in annuity payments annually; processes over 9,000 retirement and survivor benefit annuity applications annually; processes over 7,500 single sum benefit applications annually; and reviews over 4,200 life insurance claims annually.

Functions include:

- Program enrollment application processing for WRS
- Computing final retirement, disability, separation and death benefits
- Adjusting annuities for death, QDROs, and late reported earnings
- Process the monthly annuity payroll
- Certifying life and health insurance coverage at retirement
- Updating annuitant life and health insurance data
- Administering and processing annuitant health insurance coverage and changes
- Maintaining sick leave conversion credit accounts.

The Bureau is divided into three sections and includes a manager, three supervisors, and 29 staff members.

B.1.1.4.3.5 EMPLOYER AND CONTACT SERVICES BUREAU

The Employer and Contact Services Bureau's primary functions are related to the Department's call centers for participants and employers, reconciling the contributions for the WRS sent by employers with employee hours and earnings, employer training and communication and handling all employer processing and policy topics that relate to the WRS. Functions include:

- Responding to participant calls and emails regarding their insurance and retirement benefits and attempt to resolve issues
- Program enrollment application processing for WRS
- Participant updates received from employers which includes terminations, annual hours and earnings, and participant data changes
- Resolving employer reporting discrepancies
- Beneficiary designation processing
- Resolving rehired annuitant issues
- Provide employer training and policy updates
- Social Security Administration liaison with 2,430 public Wisconsin entities.

The Employer and Contact Services Bureau has a Research and Coordination Team and two Contact Management Sections and an Employer Services Section. The Contact Management and Employer Services sections serve as the first point of contact for the majority of WRS participants, their family members and beneficiaries, and for WRS participating employers. The staff in this bureau are dedicated to providing accurate and timely information on a range of complex topics over the phone or in email. The service level goal for the centers is answering 90% of calls within two minutes or less. In order to reach this goal, staff members are cross trained to support each other during periods of heavy call volume.

The Contact Management Section is a call center staffed by twenty-four employees who field questions and inquiries on all aspects of the major benefit programs administered by the Department. They also take requests for benefit estimates, benefit inquiries, and schedule appointments for individual or group benefit sessions. The combined volume of calls and emails received in 2012 was 173,542.

The Employer Communications Center is a call center of three who respond to inquiries from over 1,500 WRS state and local employers related to program eligibility and reporting for the WRS. They also respond to benefit inquiries from other areas within the Department to review participant account data in order to accurately process benefits. The combined volume of calls and emails received from employers in 2012 was approximately 16,000.

B.1.1.4.4 OMBUDSPERSON SERVICES

The staff providing ombudsperson services to the Department represents and advocates participant interests in matters concerning the benefit programs administered by the Department. Those providing ombudsperson services attempt to resolve complaints and disputes with insurance plans on behalf of covered members. Through this process, they frequently negotiate changes in policies, practices and contract interpretations with outside benefit plan providers and administrators. If unable to resolve a complaint informally, they advise the participant on the subsequent avenues of appeal available.

B.1.1.4.5 OFFICE OF BUDGET AND TRUST FINANCE

The Office of Budget and Trust Finance is responsible for the Department's biennial and operating budget, accounting and financial statement preparation and actuarial reporting and analysis. It consists of the Office of Trust Finance & Data Analysis and the Budget/Policy Team. There are 21 employees including the Director, Controller, Budget and Policy Supervisor. Each of the work teams is described below.

B.1.1.4.5.1 TRUST FINANCE AND DATA ANALYSIS

The Office of Trust Finance & Data Analysis (OTFDA) is responsible for the financial management, fiscal policy development and administration, design and implementation of manual and automated accounting systems, preparation of a variety of financial reports, and coordination of actuarial valuations. The Office is responsible for the preparation of annual financial statements for the 15 GAAP funds accounted for in the Department and the preparation of a Comprehensive Annual Financial Report.

The Office includes the Controller, two Financial Management Supervisors, nine Accountants and three Financial Specialist positions.

B.1.1.4.5.2 BUDGET/POLICY TEAM

The Budget/Policy Team is responsible for analyzing, summarizing, and presenting the budget requests, with recommendations, to the Secretary's Office, which is responsible for determining what will be included in the Department's formal budget request. This information is submitted to the Department of Administration for consideration, following adoption of a budget by the legislature. Functions include:

- Preparing the biennial budget
- Preparing budget estimates for future and long-range planning and analyzing trends for the various Department programs
- Creating and maintaining databases for analyzing budget and policy analyses workflow
- Preparing expenditure reports and records, compiling data for journal entries, and reconciling accounts
- Procuring goods and services as needed for efficient Department operation, including developing, conducting and awarding bids and contracts
- Developing agency-specific contracts and/or vendor lists and performing contract compliance for them
- Making all payments to Department vendors.

The Budget/Policy Team includes a supervisor and four staff members.

B.1.1.4.6 OFFICE OF ENTERPRISE INITIATIVES

The Office of Enterprise Initiatives (OEI) is the Department's focal point for enterprise projects in transforming our business processes, procedures and Information Technology (IT) systems. This Office leads department projects and works collaboratively with ETF's leadership team and work units to coordinate the many upcoming and ongoing business transformation, system integration and process modernization efforts. Functions within OEI include:

- Providing technical assistance in identifying, evaluating and developing methods and procedures that are efficient, effective and meet good business practice
- Serving as a key liaison with the rest of the functional business areas of the organization and planning, prioritization and collaboration between and across business functions
- Providing a Project Management Office responsible for overseeing all aspects of business project and portfolio management, including but not limited to project initiation, Return on Investment Analysis, project planning, tracking, communication, quality and risk control, business analysis, quality assurance, test plan development and execution, effective negotiation of project timelines and process/products to successfully complete project deliverables.

Staff within OEI includes the manager, four staff members, and a variety of contract staff to assist in planning and implementing Enterprise Initiatives.

B.1.2 ETF'S MISSION, VALUES, AND VISION

ETF's mission is to develop and deliver quality benefits and services to our customers while safeguarding the integrity of the Trust.

ETF has developed a set of values that assist us in accomplishing that mission:

- **Integrity:** We earn the trust of our members by keeping our promises. We maintain their confidence by adhering to the highest standards of ethical conduct in all of our activities
- **Respect:** We appreciate the diversity of those we serve and we treat each individual with respect. We listen to our members, we are helpful and courteous and we make their needs our highest priorities
- **Quality:** We believe in providing quality service that is timely, accurate, thorough and accessible. We approach the challenges of the future by continuously improving our service through creativity and innovation
- **People:** We strive to develop employees to their fullest potential and foster diversity and team effort. Enthusiasm, skill, dedication and pride in their work make them our most valuable assets.

The Department's Strategic Plan provides the framework supporting the plan to become a leader among large public employee benefit systems by offering best practice customer services to members and employers.

To achieve this goal:

- ETF will offer self-service tools to WRS members and employers. These tools will empower ETF customers to become better educated about their benefits, provide secure online access to their accounts, and allow them to securely update information online

- ETF will expand outreach to more members and employers in more parts of the state. Efforts will include more timely and efficient electronic communications, a greater number of retirement planning and other information sessions and result in more user-friendly, accessible benefit program materials
- ETF will strengthen its internal workforce training programs to maintain and grow its highly-skilled and knowledgeable workforce. Efforts will include sophisticated training programs for new as well as existing employees.

The Department is committed to making the most of available resources by incorporating modern best practices, continually evaluating processes for effectiveness in meeting the needs of members, safeguarding member data, and by delivering the best value in benefits and services provided.

B.1.3 LEGACY BUSINESS AND TECHNICAL ENVIRONMENT

The material presented in the sections below subdivides ETF's current environment into the several component subsystems that comprise the current legacy environment. (Note that it is ETF's intent that the new BAS will be a single, integrated solution.) The sections that follow include descriptions of the hardware and both system and application (where appropriate) software for:

- General Benefits Administration
- Employer Reporting Sub-System
- Financial Management Sub-System
- Enterprise Content Management (ECM) Sub-System
- Telephony Sub-System
- Other Sub-Systems.

ETF will assume responsibility for all operational and programming support of its legacy systems. The vendor will have no responsibilities in this regard. Also, ETF will assume responsibility for all activities relating to the shutdown / decommissioning of legacy systems after cutover to the new solution. It is ETF's expectation that there will be no ongoing need to support current systems or subsystems except as they may be integrated into the new BAS, e.g., the Financial Management Sub-System.

B.1.3.1 CURRENT SYSTEM UPGRADE POLICY

ETF maintains a three to four year hardware refresh policy for PC workstations and five to six years for server hardware. New system software, e.g., Windows Server, is tested when it is first released but not all servers are upgraded immediately thereafter. New operating systems for servers are deployed based on the system being implemented and/or the refresh of the server hardware and the associated software/applications.

Deployments of new operating systems for workstations are based mostly on support of the workstation applications, manufacturer support and usability. When new system hardware or software is deployed, they are rolled out to the entire user community using a planned rollout.

Patches to system software are tested and subsequently rolled out to the user community, typically within less than a week of their release.

Custom software is typically updated on a monthly basis, through a formal software release process controlled by a change control board (CCB).

B.1.3.2 CURRENT TECHNICAL ENVIRONMENT

As noted above, ETF has a robust and progressive IT department which provides both hardware and software support to the business entities at ETF. The IT staff currently satisfies ETF's business needs through the use of both server and mainframe technology. In-house developed applications have been written in either COBOL or Java. Included below in Table 12 is the list of the standard technologies in use at ETF today.

Table 12 ETF's Current Standard Technologies

SYSTEM	TECHNOLOGY USED
Operating Systems	Windows, Linux, and z/OS
Servers	IBM and Mainframe
Network	Cisco
Office Productivity	Microsoft Office
Email	MS-Exchange
Programming	Java, COBOL
Database	DB2 v10.0x, MS SQL Server, MS Access
Forms/Reporting	AFP, Crystal Reports, Jasper, Forecaster, DOA FIRSt, Purchase Plus

Figure 5 below provides a depiction of ETF's logical network.

Figure 5 ETF Logical Network Diagram

This material redacted

B.1.3.3 GENERAL BENEFITS ADMINISTRATION

ETF's systems have been developed individually over the last 20+ years resulting in processing silos for, among others, active members, maintenance of retirement benefits, and insurance benefits. Each major system typically has its own database that stores and manages the information necessary to perform the tasks needed to complete that specific activity. The silos have created situations where data is duplicated within different data bases; such as addresses and SSNs, etc., with limited checks and balances to keep the data synchronized. Limited integration between these applications is generally achieved by one application directly accessing the database of another application, and by batch applications that access or update data in multiple application databases.

While the vast majority of data resides in DB2 tables, other technology such as Microsoft Access, Microsoft SQL Server, and Microsoft Excel are also used to capture, store, and process the data. Table 13 below contains a list of ETF's major benefits administration systems, the implemented technology, and a brief description of each system's function.

Table 13 List of ETF Major Benefits Administration Systems

SYSTEM	TECHNOLOGY	DESCRIPTION
WEBS/RetCalcs – Wisconsin Employee Benefits System	DB2, COBOL, Java, WebSphere	This system is used for the processing of active employee information such as: n Tracking employer participation n Participant information, account rights, dates, service, and monies n Performs benefit estimates for retirements, deaths, and disabilities n Computes annuity amount There are some archive tables that hold older data that was not converted during the last system update. Many of the inquiry functions found in the COBOL programs have been duplicated in Java, web-based applications.
BPS – Benefit Payment System	DB2, Java, COBOL, WebSphere	This system is used to process the annuitant monthly payroll.
LSPS – Lump Sum Payment System	DB2, Java, COBOL, WebSphere	This system processes single sum payments for retirement, separation, and death benefits.
On-line Network for Employers (ONE)	DB2, Java, COBOL, WebSphere	Enables employers to view employee historical WRS information, keep employee information current, report monthly retirement contributions, make payments through the banking ACH process, and produce WRS earnings reports.
CallSS – Call and Service System	DB2, Java, WebSphere	This system tracks member phone contacts and member requests from the telephone and IVR system.
Service Purchase Database	MS Access	This system is used to track member service purchases. Staff manually enters service purchase and member information into this database. That data is used to create member correspondence and is programmatically loaded into WEBS each month. During that process, only approximately 40% of the records pass the edits and are automatically loaded. The remaining (rejected for data entry errors or mismatched demographic information) 60% must then be manually entered into WEBS.

SYSTEM	TECHNOLOGY	DESCRIPTION
Health Insurance and (myETF Benefits) MEB	DB2, Java, COBOL, WebSphere	This is the Health Insurance System. It processes health insurance coverage and also maintains member demographic information relating to health insurance. MyETF Benefits provides employers and members access to their data via a web interface. Members can update some demographic dependent information and enroll in or change health plans on-line.
Disability Insurance	MS Access	This system tracks members and computes payments for Disability Insurance. ETF has four disability programs. Two are run by a third party provider (ICI Short Term and LTDI Long Term Disability Insurance). Two are in-house (§40.63 Disability Retirement and §40.65 Duty Disability).
Domestic Partnership	DB2, Java, WebSphere	This system tracks member domestic partnerships.
Accumulated Sick Leave (AcSL)	DB2, Java, WebSphere	A retiring State of Wisconsin-employed member with an accumulated sick leave balance can use the sick leave to pay for health insurance. This new application will manage each member's total and applied sick leave credits.

For a comprehensive, descriptive list of ETF's applications, see Section B.1.3.3.3 Application Software

B.1.3.3.1 BUSINESS FUNCTIONALITY

General statistics about the current benefits administered by ETF are included in the table below:

Table 14 Current ETF Process Volume Estimates

ITEM	ESTIMATED QUANTITY
Number of active members	257,254
Number of inactive members	155,000
Number of retirees and beneficiaries receiving monthly payments	168,000
Percentage of payments made by Electronic Funds Transfer (EFT)	99%
Number of plans	4
Number of contributing employers	1,511
Net assets	$73,944,194,297
Benefits paid during year 2011	$4,136,884,044

ITEM	ESTIMATED QUANTITY
Withdrawals taken during year 2011	$28,006,284
Contribution revenue received during year 2011	$1,548,567,782
Number of full-time employees	260.2

The volumes of documents currently printed as part of the legacy benefits administration system are indicated in the table below.

Table 15 Current ETF Printing Volume Estimates

PRINTING JOB	APPROXIMATE VOLUME
Member Annual Statements (yearly)	360,000
1099-R IRS Forms (yearly)	175,000
Checks (monthly)	2,150
General correspondence (yearly)	23,000

B.1.3.3.2 HARDWARE AND SYSTEM SOFTWARE

The complete list of ETF servers is provided in Appendix E.7 – ETF Servers. ETF's current inventory of printers is provided in Appendix E.8 - ETF Printers.

B.1.3.3.2.1 SERVER ENVIRONMENT

ETF employs a virtual-first strategy, using ETF's virtual environment to deploy servers before considering other options. If physical servers are needed, IBM Blade Systems and HS (Intel based processors) or JS (IBM PowerPC based processors) blade servers followed by standalone IBM servers are considered. Externally hosted servers are considered as appropriate.

ETF's virtual environment is VMWare's vSphere which is hosted on IBM HS22 blade servers. All vSphere hosts and most blade servers boot from a Storage Area Network and do not have internal hard drives.

Server operating systems include Microsoft and Red Hat Servers. No new servers will be deployed with non-current operating systems. New servers are currently deployed with Windows 2008 R2 or Red Hat Linux 6.x or newer. All new servers are deployed with a software firewall and are hardened.

B.1.3.3.2.2 STORAGE

IBM DS5020 Storage Area Network populated with 450 Gigabyte 15000 RPM Fibre Channel disk drives is used for storage. Flash and Volume copy features are enabled. Two RAID 5 arrays are the standard configuration with one hot-spare disk per cabinet.

B.1.3.3.2.3 DESKTOPS

The typical hardware configuration for ETF's 250+ desktops is:

- CPU (various, but typically): Lenovo 3209-A73, Intel Core i5 3470 3.2 GHz

- Standard Memory Standard: 4 Gig
- Video Resolution (two monitor models)
  - NEC default resolution 1920x1200
  - LG default resolution 1920x1080
- Monitors:
  - NEC 24" Multisync EA 241WM,
  - LG 24" Flatron E2411
- Disk size: 160GB – 500GB
- Two programs provided by ETF's actuary are deployed to Member Services Bureau's staff desktops to perform Long Term Disability Insurance and purchase of Other Governmental Service estimates

B.1.3.3.2.4 APPLICATION LOAD-BALANCING

All in-bound traffic destined for ETF application servers is passed through a reverse proxy using F5's BigIP (see http://www.corporatearmor.com/index.php?cPath=213_644 for more information and product specifications).

B.1.3.3.3 APPLICATION SOFTWARE

We divide the descriptions of application software as follows:

- Participant-related systems
- Benefit-related systems
- Member information tracking systems
- Employer systems
- Health insurance systems
- Invoice and payment systems
- Life insurance systems
- Income continuation insurance (ICI) systems
- Long term disability (LTDI) systems
- Purchased systems
- Additional web-accessible calculators, inquiry apps, and functions
- Typical ETF workstation software

B.1.3.3.3.1 PARTICIPANT-RELATED SYSTEMS

- **Wisconsin Employee Benefit System (WEBS):** Maintains accounts for all active, inactive, and most annuity members, and contains data relative to rights, dates, service, earnings, and monies maintained in their WRS accounts. Monies are shown on the accounts as long as they are still active or inactive, as these funds represent the Employee and Employer Reserves for WRS. Data is used to send Statement of Benefits to active and inactive members each year. Accounts are maintained separately where a member may have rights under their own WRS account

earned as an employee of a WRS employer and also a separate account as an alternate payee from a Qualified Domestic Relations Order (QDRO) on a WRS account or annuity of a former spouse or domestic partner. All monies/service are maintained in detail for the prior 24 months. The completion of annual processing closes off access to (and archives) the member account data for the completed year and permits access and other activity and updates only against the "current" year.'

In April of 2013, ETF distributed 368,826 Statements of Benefits for 2012. These SOBs were sent to the categories of members (and distributed as indicated) in the following list:

- Active Participants (mailed to employers) – 190,794
- Active Participants (direct mail) – 32,379
- UW Employees (electronic distribution) – 29,855
- Inactive Participants – 112,197
- Alternate Payee / QDRO Accounts – 3,601

- **Variable Participant System (VPS):** Records are maintained on this system for any WRS employee who has elected variable participation or later opts to cancel their variable participation. Records continue to be maintained for beneficiaries or named survivors of deceased variable participants. Data is maintained as to election dates, rejection dates, cancel dates or participation end dates due to benefit transactions.

B.1.3.3.3.2 BENEFIT-RELATED SYSTEMS

- **WEBS – Benefit Subsystem:** This subsystem contains functions to perform benefit estimates for retirement, disability, and death benefits. The estimate function data feed the computation data for the completion of the benefit calculation. Data are computed in the RetCalcs function and downloaded to the Benefit Payment System (BPS). At the same time the data are used to close out the monies and service from the Employee/Employer reserve funds; those funds are moved to the Annuity Reserve. All disability and monthly death benefits (as well as corrections to monthly annuities) are still calculated manually, loaded to BPS, and subsequently go through a manual close-out and transfer of monies and service from the Employee/Employer reserve funds to the Annuity Reserve

  WEBS also maintains manually managed status flags that prevent re-enrollment of annuitants already receiving benefits and assist in the allocation of annual interest.

- **Lump Sum Payment System (LSPS):** This system automatically calculates the benefit amount for lump sum separation, retirement, and death benefit payments. The application sends a file to the Department of Administration (DOA) to generate checks and notifications to benefit recipients. In addition, the file is used to generate the Federal 1099 form sent with the payment showing the individual the amounts withheld for tax purposes. At year end, such tax information is used to compile the data needed for the Annual Tax Reporting requirements to the IRS. This application also provides a means to close-out monies and service from the Employee/Employer reserve funds to the Annuity Reserve.

- **Benefit Payment System (BPS):** Web and batch-based system to process and pay WRS monthly retirement, disability (40.63 and 40.65) and death benefits. The system applies federal/state tax withholding, accounts receivable and insurance premium deductions and transfers the deductions to the appropriate third party. Notifications are sent to benefit recipients whenever their benefit payment amount changes. At year end, annual Federal 1099-R's forms are generated showing the individual amounts withheld for tax purposes and are used to compile the data needed for the Annual Tax Reporting requirements to the IRS
- **Duty Disability Detail System:** This system is maintained in Microsoft Access by the Division of Insurance Services and contains the detail information relative to all individuals receiving a benefit under Chapter 40.65 and is used to compute the annual salary indexing and any annual increase in payment amounts
- **Duty Disability Data Entry:** This application is used to enter/view dependent indicative information (SSN, DOB and names) for claimants and their spouses and/or minor children receiving a duty disability benefit (active and death benefits).

B.1.3.3.3.3 MEMBER INFORMATION TRACKING SYSTEMS

- **InputAccel / Step2000 / Content Manager:** This imaging, workflow and document management system provides the capability to view documents in member folders and track workload generated by the receipt of such documents. Paper documents are imaged into the Content Manager repository and maintained for viewing by users with the selection being determined by form numbers or assigned numbers. The Step2000 workflow application tracks and provides a graphical representation of each step from the receipt of the document to the completion of the workflow job associated with the document. This system also enters transactions within the transaction control system in WEBS as pended transactions and in some cases completes these transactions through workflow. Other transactions are entered in Transaction Control (see below) but are completed by either manual completion or by other systems completing the work with the transaction and thus completing the transaction. This system gives a 'big picture' of the workload outstanding relative to 'paper documents' received by the department, along with Call Center requests received by the department and online retirement estimates, all of which are pulled into the Step2000 workflow application
- **WEBS – Transaction Control (TC):** This subsystem of WEBS follows a transaction per member by type of transaction from time it is received at ETF to the time that the transaction is completed. For those transactions handled by staff on a manual basis, the data on transaction control will show by whom and when the transaction was entered, to whom and when the transaction was assigned, and who completed the transaction and when. For transactions completed within WEBS, the completion automatically records the same information as for those handled manually. Most functions within WEBs that do update are required to complete TC transactions (except for Annual Roll-up because of the volume of the transactions). This is one of the many ways to determine what work is outstanding within the department
- **WEBS – Transaction History:** This function within WEBS contains a record of all transactions that updated a member account within WEBS by report year and by SSN. These records are used by staff to determine what might have updated an account should there be a question from a member. They are also used by staff to determine how something 'got out of whack' on the record. We have all Transaction History records for all members in WEBS since its inception in 1992
- **WEBS – Reconciliation Count Records:** This subsystem of WEBS is maintained as the integrity check by the system user team that all monies/service values and counts are in balance within the tables and between the tables. These individual records are used as member tracking

information in that they will show any transaction that updated any money, service, or count field within WEBS by showing the before value, after value and change value. Each transaction contains the transaction code and program number that did the update with the timestamp as to when such update was done. These records are used to rebuild the money/service/count fields from scratch if needed on questionable records

- **CallSS:** The Call Center and other business areas enter all phone calls received into this system in order to track the subject, time called, length of call, and disposition of call and to initiate member service requests. This application is also used to transcribe member requests received via the IVR voice message system and automatically initiate necessary work. The system is capable of initiating workflow jobs and sending communications to other business areas when follow-up is necessary. Finally, CallSS is used to record Member Services Bureau staff encounters with members, including when members are in the office to submit forms to the front desk staff.

B.1.3.3.3.4 EMPLOYER SYSTEMS

- **WEBS – Employer Subsystem:** This subsystem contains information relative to all employers involved in ETF programs. It indicates whether the employer is involved in the Social Security program and any other ETF programs, which include WRS, Life Insurance, Health Insurance, Income Continuation Insurance, and Deferred Compensation. It also indicates the resolution (participation) dates for each employer, by program
- This subsystem also contains all contribution monies received for WRS employers by month and by year. Data is available since the inception of the employer subsystem under WEBS. It also contains the contribution rates for each Employer Identification Number under the WRS
- Monies contained on the Employer Subsystem represent both the Employee and the Employer Reserve in the Core and Variable Trust Funds. The amounts received in contributions by employment category are reconciled to the amounts maintained on the Participant Subsystem as Current Deposits less the amounts recorded as Qualified/Forfeited Service Buybacks and Miscellaneous Deposits.

B.1.3.3.3.5 HEALTH INSURANCE SYSTEMS

- **Health Insurance and Complaint System (HICS):** The health insurance functionality portion of HICS is no longer used as it was replaced by the *myETF Benefits* system. The complaint system portion of HICS continues to be used by the ombudspersons to track member complaints
- **myETF Benefits:** This system contains health insurance information relative to current and past coverage information, dependent information, address information, phone information for employees (state and local), annuitants (local, annuity file, Accumulated Sick Leave Conversion Credits, direct pays), and continuants. All new health insurance applications are entered into this system as well as coverage changes and terminations. This system also calculates and generates health insurance invoices for all employers. myETF Benefits is used by ETF staff, employers, and members
- **Accumulated Sick Leave (AcSL)**: When a state employee retires, dies, is laid off, etc., the employee's sick leave balance is converted to credits that are subsequently used to pay State Group healthcare insurance premiums. As monthly premiums are transmitted to the carriers, the balance in the member account is reduced by the appropriate premium amount. At the time all funds are used, the payment for the health premiums will either revert to being taken from the member annuity payment, or they will begin making direct payments to the carrier. In addition, members are allowed to convert their life insurance value into monies to be used for payment of

State group healthcare insurance premiums; these amounts are also tracked using the AcSL application. Annual statements reporting the current balance in the sick leave account are sent to members. AcSL is a web-based application that provides real-time account information, including status, updates, and workflow.

B.1.3.3.3.6 INVOICE AND PAYMENT SYSTEMS

The coverage reporting system with employers was replaced with an online invoicing system, and the data is originated from the myETF Benefits database. As well, health and pharmacy plans have access to online premium reporting.

- **Pharmacy Benefits Manager Validation Processing:** This application is used to determine which health insurance contracts need to be validated against the monthly health coverage reports; identifies all health insurance contracts that have not been validated for a specific coverage month and year; and can display a summary of all of a subscriber's dependent information.

B.1.3.3.3.7 LIFE INSURANCE SYSTEMS

ETF does not maintain a database for Life Insurance participants. This data is maintained by Minnesota Life Insurance Company (MLIC) who is the TPA for the program. MLIC's database contains all persons eligible under the Life Insurance program including state, local and annuitants. The Division of Insurance Services performs the database coordination.

B.1.3.3.3.8 INCOME CONTINUATION INSURANCE (ICI) SYSTEMS

ETF does not maintain a database for ICI participants. ETF contracts with Aetna, a third party administrator, to handle the application process and claims process. Aetna maintains a claims database at this time but has not established a total covered applicant database. The Division of Insurance Services performs the database coordination.

B.1.3.3.3.9 LONG TERM DISABILITY (LTDI) SYSTEMS

ETF does not maintain a database for LTDI participants. ETF contracts with Aetna to handle the application process and claims process. Aetna maintains a claims database at this time but has not established a total covered applicant database. The Division of Insurance Services performs the database coordination.

B.1.3.3.3.10 PURCHASED SYSTEMS

- **ETF Integrated Library System:** This web-based solution, built with InMagic DB/Text Works and accessible via the agency's knowledge management tool, InMagic Presto, provides everything necessary to automate a special library. It includes a set of predefined text bases, query screens and report forms to manage cataloging, acquisitions, serial and loans. This software allows hotlinks to electronic materials. The system is maintained by the Librarian
- **ETF Knowledge Management:** The InMagic Presto Social Library is a web-based tool used to publish ETF policies, procedures, protocols, and other business knowledge for staff use
- **Forecaster Financial Reporting System:** This system produces various Financial Statements needed by ETF and its Oversight Boards and participants. The data used in the system is retrieved mostly from WiSMART in the daily downloads. This system is maintained by Office of Budget and Trust Finance

- **Request and Management System (RAMS):** This system uses Atlassian JIRA to track project and problem requests for ETF's IT systems. It is also used to track staff suggestions for process improvements
- **Information Technology Documentation Wiki (WIKID):** This system uses Atlassian Confluence to document and share IT technical and project information.

B.1.3.3.3.11 ADDITIONAL WEB-ACCESSIBLE CALCULATORS, INQUIRY APPS, AND FUNCTIONS

Below is a list of the web-based tools that are available to ETF staff when they log onto the ETF Intranet and seek support tools:

- WRS Account Applications
  - Act 10 Held Table
  - Annual Participant Account Ledger (PAL) Account
  - Annual PAL Balances
  - Annual Reconciliation Status
  - Annuity File Inquiry
  - Benefit Status
  - Employment History
  - Interest Rate History
  - Non-Annuitant Account Balances
  - Non-Annuitant Inquiry
  - Open Employer Invoices Inquiry
  - Payroll Status
  - Previous Service and Benefit Inquiry
  - SOB Address Updates
  - SOB Reprints 2012
  - Transaction History
  - Variable Participation Inquiry
  - Variable Participation System (VPS)
  - WRS Account Update Application
  - WRS Earnings Reports (On-going)
  - WRS Earnings Reconciliation Reports (Final)
  - WRS Transaction Upload
  - Update WRS Rates Contribution Display.
- ETF Health & ICI Premium Payment
  - ETF Health & ICI Premium Payment Via ACH
- Domestic Partner System
  - ETF Domestic Partner System
  - Domestic Partner System User Guide.
- Insurance
  - Accumulated Sick Leave Conversion Credit (ASLCC) Inquiry (prior to AcSL deployment)

- Benefit Complaint System
- Health Insurance Contract Adjustment Maintenance System (CAMS)
- Health Insurance Inquiry (hIQ)
- Health Insurance Payment System
- Health Insurance Premium Reporting (History Inquiry Only)
- Voluntary Data Sharing Agreement System (VDSA).

- Calculators
  - Accelerated Payment Cost Calculator
  - Forfeited Service Cost Calculator
  - Retirement Benefits Calculator
  - Unfunded Actuarial Accrued Liability
  - Variable Excess Deficiency Calculator
  - WRS Rates Display.
- Act 11
  - Guide to 1999 Act 11 Dividend Inquiry Screens
  - 1999 Act 11 Employer Invoice Inquiry
  - 1999 Act 11 Fixed Interest Crediting Adjustments
  - 1999 Act 11 Service
  - 1999 Act 11 Supplemental 2001 Fixed Dividend
  - 1999 Act 11 TAA Transfer Fixed Dividend.

B.1.3.3.3.12 TYPICAL ETF WORKSTATION SOFTWARE

Application software found on typical ETF workstations is presented in Table 16 below:

Table 16 ETF's Current Workstation Software

SOFTWARE NAME	DEVELOPER	VERSION	PURPOSE
Microsoft Office Professional	Microsoft	2007	General office automation
Outlook	Microsoft	2007	Email and Calendaring
IMS Step2000	Vanguard Systems	8.2	Workflow
Windows	Microsoft	7	Desktop OS
Internet Explorer	Microsoft	V8 & V9	Browser/Web based applications
Attachmate Extra	Attachmate	6.2	Terminal Emulation
Symantec Antivirus	Symantec	V12	Windows Antivirus
IBM Content Manager	IBM	V8.4.3	Viewing images for Workflow

B.1.3.3.4 APPLICATION DATA

ETF has 33 DB2 databases that include about 1,000 tables supporting most of the member and retiree systems. A complete DB2 database list is provided below. The total row count for each table was derived by counting all rows in all tables that exist within the given database. ETF is currently creating or updating all data models. ETF's data models will be made available in ERwin for the project.

Table 17 DB2 Database List with Sizing Information (As of 4/23/2013)

DESCRIPTION	DATABASE NAME	SPACE (MB)	TABLES	TOTAL ROW COUNT
Legacy Employer	TRP171ER	1,075.2	68	7,591,534
Health Insurance	TRP171HA	6.2	5	153
Health Insurance & myETF Benefits & Sick Leave	TRP171HI	6,230.3	81	20,545,419
Legacy Participant & Benefit	TRP171PB	3,678.6	69	44,339,415
WEBS Reconciliation	TRP171RC	216.0	6	1,783,356
WEBS Transaction History	TRP171WH	2,902.5	1	46,236,165
Day PAL Table	TRP172ER	.05	1	0
ACT11 & History PAL Tables	TRPACT11	13,590.8	34	188,807,974
Call Center	TRPCALLC	635.6	4	2,861,988
Code Tables	TRPCODES	78.1	408	69,100
Demographic & Domestic Partners	TRPDEMOG	2,156.3	13	21,735,320
Health Ins Reconciliation	TRPHICRC	11.4	4	84,914
Benefit	TRPIBEN1	26.0	2	8,699
Lump Sum Snapshot Tables	TRPLBPSN	3.5	4	3,438
Lump Sum Tables	TRPLCALC	26.9	11	143,047
Lump Sum Change & Reconciliation	TRPLCHGH	485.2	6	5,190,335
Lump Sum Payment	TRPLPYMT	48.2	21	222,962
Lump Sum Tax	TRPLTAX	18.9	10	51,095
Lump Sum Snapshot of WEBS	TRPLWBSN	76.9	7	428,589
Variable Election	TRPMEMP1	10.2	1	39,483
BPS Benefit Tables	TRPPACCT	1,283.0	19	6,880,971
BPS Payment and Snapshot Tables	TRPPAYSN	27,935.7	26	118,031,058
BPS Change and Reconciliation	TRPPCHGH	12,497.3	18	192,777,845
BPS Deduction	TRPPDEDN	73.7	12	1,048,018
Web Participant history	TRPPHIST	653.5	16	17,859,315
RetCalc that communicate with BPS	TRPPRETC	13.5	12	9
Tables used by Multiple Systems	TRPPSYSA	24,874	13	5,036,558

DESCRIPTION	DATABASE NAME	SPACE (MB)	TABLES	TOTAL ROW COUNT
Legacy Webs tax tables	TRPPTAX	254.2	16	1,686,521
WiSMART tables used by BPS & Lump Sum	TRPPWISM	18.2	12	99,257
Workflow Tables	TRPPWKPL	28.8	2	188,855
Workflow Tables	TRPWKFLW	11,182.0	39	51,128,191
Datamart Tables for Health Insurance	TRPWRHSE	106.2	4	324,462

As noted in Appendix E.9 ETF Spreadsheets and Access Databases, ETF also makes use of spreadsheets and Access databases for storage of data.

B.1.3.3.5 PHYSICAL ROOM (DATA CENTER)

ETF currently manages a tier I datacenter with dedicated cooling and uninterrupted power supply (UPS) systems. The ETF datacenter hosts ETF's critical storage and application servers.

Power is supplied to the ETF building (and subsequently, the datacenter) as a single source of power. Power is distributed via 3 UPSs located in the datacenter with a total capacity of 34 KVA. Cooling is provided by a dedicated cooling unit and is supplemented by the building AC (in the warm months) or outside air draw (in the cool months). The ETF datacenter power and temperature are monitored. Facilities and technical staff are notified and respond to problem situations seven days per week, 365 days per year.

The network backbone and datacenter network infrastructure are resilient and scalable. Redundant gigabit uplinks connect edge closets to the network backbone. A single source Internet connection which provides all communication outside of ETF is configured for 50 MBs and configurable to 100 MBs. Greater speeds are possible but additional networking equipment is necessary.

Both 2-post and 4-post racks are maintained in the ETF datacenter. Structured cable management is installed, and all standards for Cat 6 and fiber optic cables are followed.

DET currently manages a top-tier data center built approximately eight years ago to serve the needs of all State agencies. This data center has redundancy 2-, 3-, and 4-layers deep for all services, including electrical source, cooling, water, UPS, generators, fuel, network connectivity, physical security, etc. The state data center is fully monitored 7 X 24 from its Network Operations Center. Facilities and technical staff are notified and respond to problem situations seven days per week, 365 days per year.

DET also manages a second, older data center will full fail over capabilities from the primary data center, including disk mirroring

B.1.3.4 EMPLOYER REPORTING SUB-SYSTEM (ERS)

In part, because ETF requires annual reporting of its employers, there is no focused Employer Reporting Sub-System (ERS) in use at ETF. However, there is an employer-reporting process and there are tools that have been developed to support the reporting and reconciliation process. They are described in the sections below.

B.1.3.4.1 BUSINESS FUNCTIONALITY

On a monthly basis each of ETF's employers reports the total contribution amount due from their agency, municipality, or other organizational group. That total contribution is computed by the employer based on the number of employees and the employees' salary and position code. Those employers reporting electronically enter the employee earnings into the WRS Contribution Remittance Entry utility available on the ETF-developed and maintained Online Network for Employers (ONE) website. This utility calculates the contribution amount that the employer owes ETF. Approximately 50 employers continue to report earnings using a paper form. They report the earnings and estimated contribution amounts to ETF – whose staff enter the paper-based information into the WRS Contribution Remittance Entry utility. Based on the ONE site-generated payment information, ETF generates an accounts receivable (AR) entry for each employer – and the employer creates an ACH transaction that satisfies the AR entry.

On a calendar-year annual basis, employers report contribution, salary, and hours information for each of their individual employees. The reported information is transmitted to the employer reporting system (also known as the Contribution System) where it is reconciled against the employer's previously reported monthly employer contribution amounts. (This annual balancing process is difficult and time consuming, often taking as long as three months to complete.)

For employees who retire or seek refunds in mid-year, employers must submit partial year employee-specific information out of cycle with the monthly and annual reporting discussed above.

B.1.3.4.2 ERS APPLICATION SOFTWARE

The software utilities available to employers at the ONE site:

http://etfonline.wi.gov/etf/internet/employer/one.html

include the following:

- **Previous Service and Benefit Inquiry:** Allows employers to view historical information regarding their employees' WRS participation on-line. Assists in determining Insurance program eligibility, WRS Eligibility Status and calculating supplemental sick leave credits (state agencies only)
- **WRS Account Update:** Provides employer with the ability to securely transmit account updates to ETF. The application includes WRS enrollments, descriptive data changes, and employee transactions
- **WRS Contribution Remittance Entry:** Allows employers to transmit WRS Monthly Retirement Remittance Reports (ET-1515) to ETF and make payment through the banking ACH process
- **WRS Transaction Upload:** Allows employers to upload and submit WRS reports to ETF – including the annual payroll and service information
- **WRS Earnings Reports (On-going):** Allows employers to view the WRS Transactions for open years. The application consists of six reports including: Employee Transaction Detail, Remittance Reports by Month, Suspended Employee Transactions, Listing of all Active Employees (Pre-List), Listing of Over/Under Entries and Listing of Active Employees with no reported Earnings
- **WRS Earnings Reconciliation Reports (Final):** Allows employers to view the WRS Annual Reconciliation Reports. The application consists of six reports including: Employee Transaction Detail, Suspended Employee Transactions, Employer Contribution Summary, Remittance Reports by Month, Listing of Over/Under Entries and Unfunded Actuarial Accrued Liability Statement

- **myETF Benefits:** Provides employers with a secure view of demographic and health insurance enrollment information related to their own employees.

These web-based utilities were developed in Java and most were rolled out to the employer community in 2000. Although initially it was hard to gain employer acceptance of the use of the ONE site, it is now in use by all but 50 of ETF's employers (see Appendix E.6 for a complete listing of ETF's employers, the manner of reporting, and the number of employees reported by that employer). Another benefit of using the ONE site is that employers have become accustomed to having the actual contribution amount calculated (correctly) by ETF – though they currently have the ability to override the calculated amount with their own number.

B.1.3.5 FINANCIAL MANAGEMENT INFORMATION SYSTEM

ETF's current financial systems were developed using MS Access and Excel. Recently, the MS Access database was replaced with MS SQL Server. The consolidated database is referred to as "Edit Account Table;" it supplies the data to the spreadsheets that are used throughout the OBTF.

The data that is used to populate the SQL Server databases is downloaded from the state hosted book of record, WiSMART, which maintains both summary and detail level transactional information. WiSMART is the system into which ETF enters daily financial transaction information from the legacy benefits administration system (Benefit Payment System (BPS) and Lump Sum Payment System (LSPS)). WiSMART also receives data from state agencies by means of General Ledger (GL) transfers (and lock box entries from employers).

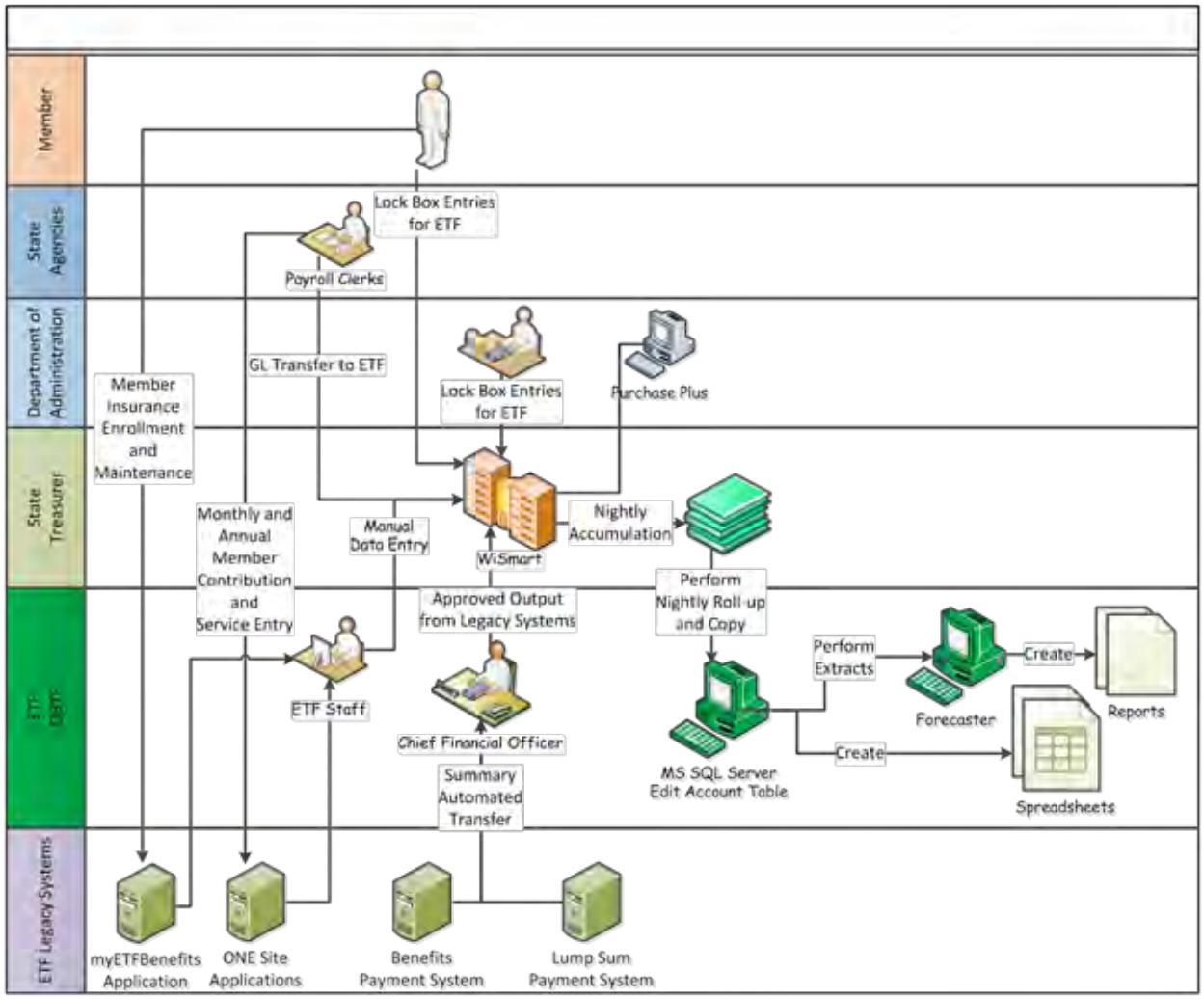
A daily download is made available from WiSMART that is used to populate ETF's Microsoft SQL Server databases. The types of information downloaded include but are not limited to revenue, expense, balance sheet, and encumbrance transactions. This downloaded data is loaded into the Edit Account Table database through queries and is also used to populate spreadsheets for further processing.

MS Forecaster is used within ETF to produce various financial reports and statements from the summary information extracted from the Edit Account Table database and stored in the MS Forecaster (MS SQL Server) database. Budgetary analysis is performed using an Excel add-in to Forecaster. The data stored in MS Forecaster is a summarized version of data that is stored in the above mentioned MS SQL Server database.

The Budget/Purchasing staff utilizes several systems in addition to WiSMART and MS Forecaster to perform their duties. For the purchasing activities, three separate systems are used to complete the purchasing processes. For most information technology purchases using an ETF credit card (referred to as p-card), the Simple Requisition System (SRS) is used. The SRS system is an ETF developed application. For purchases over $5000 and/or purchases that require payment via check (not p-card), the DOA-hosted, web-based Purchase Plus (P+) purchase order system is used. The P+ system also provides automated updates into WiSMART for purchase orders and payments. Accounts Payable (AP) uses P+ to make payments tied to purchase orders and direct payments not tied to purchase orders. AP also uses WiSMART to process travel vouchers and DOA general service billings.

Figure 6 provides a visual of the flow of data into WiSMART and subsequently into and through the ETF Edit Account Table database:

Figure 6 Current ETF Accounting System Data Flow



ETF has a project underway (see Section B.1.6.3) to purchase and implement a PeopleSoft Financial Management Information System (FMIS) to replace the current accounting tools that were developed using MS Access, MS SQL Server, and Excel. Upon completion of the implementation project, ETF users will enter data into FMIS in several ways:

- Manual data entry of necessary insurance premium information
- Automated feeds from the Lump Sum Payment system
- Automated feeds from the Benefits Payment System
- A daily feed from the state-hosted WiSMART system (but one which contains much less information than does the current feed)
- Entries from payroll clerks who perform GL entries.

FMIS will replace (virtually, not physically) the WiSMART system as ETF's official book of record and will maintain both summary and detailed level transactional data. Rather than entering data into

WiSMART as is done today, FMIS will make a daily upload of summary data into WiSMART. The system will allow for both calendar-year and fiscal-year reporting, as is currently done.

B.1.3.5.1 BUSINESS FUNCTIONALITY

When completely implemented, the new FMIS is expected to have the following modules

- General Ledger
- Accounts Receivable
- Accounts Payable
- Operating Budget
- Fixed Asset Management
- Cash Management
- Collections
- Reporting

Using this software, the Office of Budget and Trust Finance will be in a position to manage both administrative and BAS financial data using their own chart of accounts in a software system under their full control. In the meantime, the material in subsequent sections documents the system as is (since in the worst case, we cannot guarantee the timing of procurement and installation of the FMIS).

B.1.3.5.2 HARDWARE AND SYSTEM SOFTWARE

The MS SQL Server server that hosts the Edit Account Table and appears in the ETF OBTF swim lane of Figure 6 Current ETF Accounting System Data Flow, is an IBM HS22 Blade Server and hosts MS SQL Server 2008 R2 Standard. The server has 32GB RAM and the following four data partitions:

- **System** – 80GB (Local mirrored drives)
- **Data** – 60GB (SAN)
- **Backup** – 90GB (SAN)
- **Logs** – 40GB (SAN)

The server also hosts OBTF's applications:

- Forecaster 7 (used for the creation of reports but going out of support and no longer updated by Microsoft)
- An ETF-developed database called Edit Account (which has an MS Access front end, uses nine SQL Server tables, and contains 3.5 GB of data).

The database server is also used to host the multiple ETF tools, IT utilities, and system tools listed in Table 18 Utilities Hosted on OBTF Server. Even after the current set of OBTF databases and utilities is replaced by the new PeopleSoft FMIS, the listed utilities will remain in place for the foreseeable future:

Table 18 Utilities Hosted on OBTF Server

VENDOR	PRODUCT NAME	VERSION	DESCRIPTION
Atlassian	JIRA	4.3.4	IT ticket tracking system

VENDOR	PRODUCT NAME	VERSION	DESCRIPTION
Atlassian	Confluence	3.5.6	Wiki
InMagic	Genie		Library cataloging system
InMagic	Presto		Knowledge Management system
Quest/Scriptlogic	Desktop Authority	8.0	Desktop management – Software distribution, patch management, software inventory, PC settings, etc.
Quest/Scriptlogic	Security Explorer	8.0	Active Directory management utilities
Quest/Scriptlogic	Security Reporter	3.81	Active Directory reporting tool.
VMWare	vCenter	4.1.0	Provides a centralized and extensible platform for managing virtual infrastructure.
VMWare	vUpdate Mgr	4.1.0	Enables one to easily apply patches or upgrades to virtual machines, virtual appliances, or ESX/ESXi hosts.
Websense	Web Filter	7.7	Web filter (blocking/allowing traffic), usage tracking, reporting, etc.

B.1.3.5.3 FINANCIAL MANAGEMENT SUB-SYSTEM-SPECIFIC DATA

Since WiSMART serves as the book of record, the data specific to the Financial Management sub-system is stored in WiSMART. All of the data pulled from WiSMART is a snapshot at a point in time and is used only for reporting and calculations. Once the new FMIS has been installed, that system will maintain ETF's transactional financial data.

B.1.3.6 ENTERPRISE CONTENT MANAGEMENT (ECM) SUB-SYSTEM

ETF has been scanning paper documents it receives in the mail as well as those created as part of its benefits-related business processes since 1998. At the time of the imaging implementation, 10.2 million images were processed as part of the back-file conversion effort. Errors that occurred during the back-file conversion (associated primarily in document typing) are for the most part repaired as they are found. There is an on-going effort to re-index documents that were given a UD000 (un-identified document) document number during back-file conversion. There were initially 737,181 UD000s to re-index.

Since going live, ETF has added an additional six million images to the image archive. Once scanned, the paper copies of documents are retained for six months at ETF and then sent to the State Records Center for storage until they are eligible for destruction under the appropriate retention rules. Images associated to workflow jobs are distributed to the appropriate business unit for processing using a workflow application called Step2000.

Table 19 below provides a summary of the quantities of documents involved in the current imaging solution:

Table 19 Current ECM Quantities

ITEM	QUANTITY
Incoming Mail	1000 pieces/day
Pages of Mail	1500 pages/day
Member Records in Imaging System	682,452 folders
Average Number of Pages per Folder	23 pages
Internally generated correspondence	800 pages/day
Active workflow cases	12,000 to 30,000
New workflow cases created each day	900 cases
Pages of emails received each day	75 emails
Pages of emails transmitted each day	75 emails
Pages of emails archived as images each day	5 emails
Fax pages received each day	35 fax pages
Fax pages transmitted each day	2 fax pages

At least two copies of each document created during internal business processing are printed, one for transmission to the recipient and the other to be scanned and subsequently indexed into the archive. Emails that are stored in the archive (less than ~1% of the total daily email volume) are printed from the system and subsequently scanned. Currently, there is no integration between the correspondence generation process and the image archive; there is no integration between the email system and the image archive; and there is no integration between the fax server and the image archive.

B.1.3.6.1 BUSINESS FUNCTIONALITY

In the sections below, we separate the descriptions of the business process into those pertinent to each of the enabling technologies, i.e., imaging, workflow, and correspondence.

B.1.3.6.1.1 IMAGING

Most WRS-member-related documents and some non-WRS-member (health insurance) documents are currently scanned using EMC/Captiva's InputAccel and stored in an IBM Content Manager DB2 database. Of the more than 16 million images currently in the Content Manager (CM) database, 99% of them are WRS-member-related.

ETF has plans to start scanning employer-related documents in 2013. These documents will be in a different class from the member-related images with their own security and indexes. ETF will perform the backfile conversion of the 550,000 employer-related documents on an as-needed basis.

About 70% of the documents received in the mailroom are sent to Records for scanning upon receipt. Those that are not scanned include certain documents which are first reviewed and or coded by the business area and then sent to Records for scanning. Other documents such as checks are processed by the business areas first and subsequently scanned directly into the appropriate member folder (without spawning a workflow job, a process known as drop-filing). In

addition, any documents (e.g., correspondence) created during the processing of work are scanned when the process has been completed.

There are currently three classes of member documents, each with its own access security:

- **General Member Document** – This class is the equivalent of the general member folder. All non-medical documents accumulated during the life of the member are scanned and indexed into the general member document class
- **Medical Related Member Document** – This class of documents is used to store documents that would typically be part of the member class (above) but which have restricted access because they fall under HIPAA laws governing access to medical information
- **Medical Related ETF Staff Member Documents** – These documents are medical and healthcare-related documents for ETF staff members. The access to these documents is limited to an even smaller set of users than medical documents for the general member population.

As part of the scanning and indexing process, each scanned document is assigned to one of the three document classes. The three classes of documents described above all have the same twelve indices. Those indices are described below in Table 20 Current Member Document Indexes.

Table 20 Current Member Document Indexes

INDEX NAME	DESCRIPTION
Social Security Number	The member social security number that is used as the primary retrieval index
Plan Type	An optional index used to indicate a document associated with a specific business process, e.g., QDRO
Plan Occurrence	An optional index used to indicate a document associated with the first, second, third, etc., instance of a specific business process, e.g., the 2nd QDRO in this member's file
Document Number	A document form number that maps to a unique form name
Subfolder Code	An index indicating one of the ten subordinate folders or tabs within the folder. A document number (or type) can be associated with only a single subfolder code
Scan Date/Timestamp	The date and time when the document was scanned
Received Date	The date and time when the document was received
Batch Number	The number of the batch in which the document was scanned
Box Number	The number of the box into which the original paper document was placed after scanning
Staple Count	The number of "stapled bundles" into which this specific document has been "stapled"
Scan Operator	The ID of the scanner operator responsible for scanning the document
Document Status	An indicator of the status of the workflow job (if any) that was created when the document was released to storage

Several of the indices described above, Plan Type, Document Number, Subfolder Code and Staple Count, require further explanation and context:

- **Plan Types:** There are two unique plan types used to indicate unique business processes. They are 'P' for participant and 'Q' for QDRO
- **Document Number:** There are 3,998 unique document numbers currently stored in the image archive. All but about 900 of these numbers are obsolete or no longer used (though there may be many documents of that number in the archive because they were in use at one time). The roughly 900 active document numbers are listed in Appendix E.5 ETF Forms
- **Subfolder Code:** The ten member subfolders among which the document numbers (types) are described in Table 21.

Table 21 Current Member Sub-folder Names

SUBFOLDER NAME	DESCRIPTION
BD	Beneficiary Designation Related Documents
BP	Benefit Process Related Documents
BT	Benefit Termination Related Documents
ID	Indicative Data Related Documents
IN	Insurance Related Documents
LG	Legal Related Documents
MI	Miscellaneous Documents
PY	Payment Related
QD	QDRO (Qualified Domestic Relationship Order)
WP	WRS Participation Related Documents

- **Staple Count:** Because most staff members use multiple documents in completing a business process, ETF has developed an ability to virtually "staple" together those documents so that they can be recalled as a group later when reviewing the business process – or for some other purpose. And because some documents such as a birth certificate may be used in multiple business processes, a single imaged document may be "stapled" into an unlimited number of staple groups. The characteristics of the staple group attributes are described in the table below:

Table 22 Staple Group Attributes

ATTRIBUTE	DESCRIPTION
Member SSN	The SSN of the member to whom this staple group pertains
Plan Type	P or Q, Participant or QDRO
Plan Occurrence	Number of Plans (i.e. Q1, Q2, Q3)
Staple ID	Unique identifier

ATTRIBUTE	DESCRIPTION
Staple Count	Number of images in stapled group

Subsequent to scanning, member-related images are indexed by member SSN. When input during the document indexing operation, this primary index is validated against the four legacy system database tables to which the InputAccel application has access. When a match is found, the plan type and plan occurrence index values are auto-populated with the values associated with the SSN for WRS-member related documents and defaulted to a 'P' for non-WRS member related documents. When a match for the SSN is not found, a message code is stored on the Scandocs table for later use by the workflow system, to send the workflow job to a business research workbasket for further review.

(Note: If, at any time, a member SSN in the legacy databases is found to be faulty and changed using the SSN Change Processor, the SSN in the image database will also reflect the change.)

ETF does not currently make use of any forms recognition capability though the module is licensed as part of ETF's InputAccel software. However, a Code 39 bar code is applied to any turnaround document sent to a customer for further information. When that completed document is returned to ETF, the bar code is used to assist in routing the document appropriately.

During indexing, for those documents that will subsequently be delivered to work queues for processing, the InputAccel application uses rules stored in the "workflow document table" (based on the document number) to assign legacy system attributes, such as the employer number, etc., to the workflow job. Other rules include adding a transaction to the transaction control system for appropriate documents and adding folder tags (death, disability, overpayment, legal, waiver, medical docs) when appropriate. These additional steps help facilitate assignments, informational needs, and processing priority to be used within the business areas. Depending on the image type, the InputAccel application will also create permanent image annotations such as "Original" to birth and marriage certificates, etc.

B.1.3.6.1.2 WORKFLOW

Workflow jobs are created once the scanning and indexing process has been completed. The Workflow Job Server polls the scanned batch table for new batches and creates workflow jobs based on the information found.

In addition to workflow cases created by the polling of the scanned batch table, workflow can also be initiated through:

- Creation of specific entries in the CallSS system that automatically kick off a workflow
- The University of Wisconsin sends an xml file that is parsed and initiates a workflow
- Online benefit estimate requests also provide an xml file that initiates a workflow.

Other ETF systems (BPS, CallSS, VPS, LSPS, etc.) integrate with the Step2000 application by looking at (and sometimes updating) the folder tags assigned to an imaged folder. There are 36 different tags that can be assigned to an imaged folder (see Table 23 Folder Tags Currently in Use at ETF). These tags are displayed immediately when viewing imaged folders in Step2000 and are critical in sharing information concerning other processing that could affect any current processing.

Table 23 Folder Tags Currently in Use at ETF

NUMBER	FOLDER TAG DESCRIPTION
1	Legal: ETF Board Appeal
2	Legal: Group Ins. Board Appeal
3	Legal: Def'd Comp. Board Appeal
4	Legal: Court Appeal
5	Legal: DLHR (40.65/WC) Appeal
6	Legal: WR Board Appeal
7	Legal: WI Pers. Comm. Appeal
8	Legal: TR Board Appeal
9	Disability: ICI Claim
10	Disability: LTDI Claim
11	Disability: 40.65 Duty Disability Claim
12	Overpayment: Annuity
13	Overpayment: Lump Sum
14	Overpayment: Service Purchase
15	Overpayment: LTDI
16	Overpayment: 40.65 Duty Disability
17	Overpayment: ICI
18	Waiver: 40.63 Benefit
19	Waiver: 40.65 Benefit
20	Disability: 40.65 Cancer Presumptive
21	Disability: 40.63 Regular Disability
22	Disability: 40.63 'Special' Disability
23	Disability: LTDI 'Special' Claim
24	Overpayment: 40.63 Disability
25	Medical Documents
26	Death: Annuitant B165
27	Death: Non-Annuitant B166
28	Pending Disability Application/Claim
29	Legal: Pending Appeal
30	LEGAL: IDENTITY THEFT
31	Overpayment: Pharmacy Benefit
32	Overpayment: Health Insurance

NUMBER	FOLDER TAG DESCRIPTION
33	Domestic Partnership Affidavit Received
34	Legal: Bankruptcy
35	USERRA - Post Act 10/32
36	Miles/Meca
37	Life Insurance Only

There are currently 95 workbaskets set up for workflow jobs to be routed to. These workbaskets include business research, first unit route, enrollment, and MS-Mail processing workbaskets.

There are currently four workflows used (Research, First Unit Route, Enrollments, MS-Mail, or Member Services mail). The First Unit Route workflow is used for the majority of the indexed images, which means the workflow job is sent to a particular workbasket based on the document number of the image. Once the workflow job is sent to the 'first' workbasket, routing of the workflow job, if needed, to any other workbaskets is not completed by the system but rather by the business user. In addition to routing functionality, staff can also send a 'Notify' job to an individual business staff or to a workbasket. The notify job is basically a copy of the original job but is considered a child of the parent workflow by Step2000. Some additional functionality currently provided is listed below:

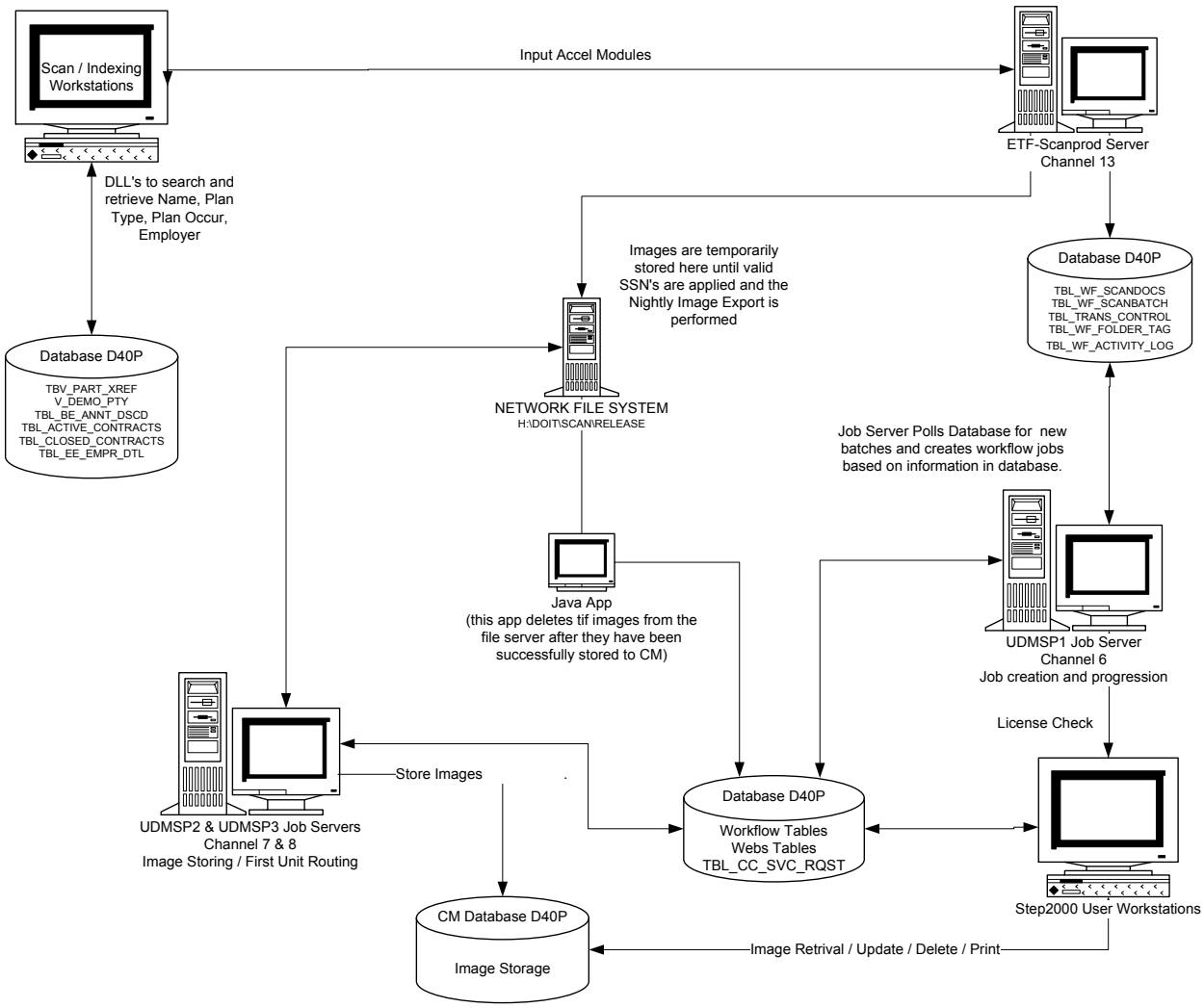
- Ability to mark benefit application workflow jobs where employer has not yet submitted a termination report for the employee.
- Ability to mark workflow jobs with employer number.
- Ability to update Benefit Payment System LTDI and ICI indicators when an LTDI or ICI folder tag is applied inside of Step2000.
- Ability to re-index images linked to:
  - Active workflow jobs
  - Closed workflow jobs
  - Service requests from the Call Center
- Ability to close (or complete) transactions on Transaction Control system based on rules established when ending, rejecting, deleting, or routing jobs in Step2000.
- Ability to mark workflow jobs pending in Research when an enrollment has been processed.
- Ability to synchronize the status of the workflow job to the status of the linked image.
- Ability to re-assign workflow job(s) between staff.
- Ability to add and remove folder tags.
- Ability to create additional workflow jobs based on the existence of folder tags.
- Ability to create multiple workflow jobs from single image.
- Ability to create concurrent workflow jobs from single image.
- Ability to ingest data from XML to create workflow jobs.
- Ability to ingest data from Call Center to create workflow jobs.

- Ability to create Reject/Delete reports.
- Ability to create management reports from workflow data.

B.1.3.6.2 ECM HARDWARE AND SYSTEM SOFTWARE

A schematic of the current ECM configuration is provided in Figure 7.

Figure 7 ETF Enterprise Content Manager System



Below we provide brief descriptions of the components of the configuration:

- **Scanning/Indexing Workstations** – These workstations (two scanner workstations and seven index workstations) provide ETF scanner/indexers access to the InputAccel image acquisition (scanning, image QA, indexing, etc.) package. Used for the collection of index attributes for scanned documents assigned to specific batches. It validates the SSN/Member ID, document number, and staple groups against DB2 tables which comprise the D40P Database. It provides the ability to create and modify multi-page documents and staple groups. It utilizes bar-coded

forms, and permanent annotations. As output, it loads data to the transaction control system, the folder tag table, the scan-batch and scan-docs tables as well as moving .TIF images of the documents to ETF's file server

- **Database D40P** – IBM DB2 tables are currently used to store legacy benefit administration application data. They are queried as described above to validate data such as SSN, Member ID, staple groups, etc.
- **Network File System (NFS)** – Standard format .TIF images acquired by the Scanning/Indexing Workstations are temporarily staged on the NFS until they are successfully exported into the Content Manager system (see UDMSP2 and UDMSP3, below). Once they have been exported the SCANDOCS table is updated with a stored date/timestamp. Once a week the .TIF files that have been exported successfully are deleted from the NFS (see Java Application)
- **Java Application** – The Java application checks the SCANDOCS table row for each image on the file server to determine if the image has been successfully exported to Content Manager (i.e., if there is a stored date/timestamp) and if so, deletes the temporary image file from the file server. This process runs weekly
- **UDMSP1** – This is the main Step2000 workflow job server. This server handles workflow job creation and job progression duties along with licensing. This server also kicks off and runs specific procedures daily (SSN Maintenance, creation of jobs from Call Center service requests)
- **UDMSP2 & UDMSP3** – These are secondary job servers used to export images to Content Manager and perform First Unit Routing of jobs
- **Step2000 Desktop Client** – Used by staff and third party vendors such as Aetna and Minnesota Life Insurance to perform all workflow functions including viewing images and processing work items.

ETF uses the following scanners which are sufficient for the current and foreseeable future volumes of scanning:

- Kodak I-1440 (of which ETF has three physical devices but only two licenses so only two can be used at the same time)

The production scanning server configuration is described in the table below:

Table 24 ETF's Existing Production Scanning Server Configuration

SERVER NAME	ETF SCANPROD SERVER
Server Role	ETF's Document Scanning Server
Server Location	Badger Rd Server Room
HARDWARE CONFIGURATION	
Server Brand	IBM
Server Model	HS22V
CPU Type	Xeon 2.66 GHz
CPU Number	2vCPU
Disk Space	57 GB
Memory	4 GB

SERVER NAME	ETF SCANPROD SERVER
SOFTWARE CONFIGURATION	
Operating System	Server 2003
Patch Level	Service Pack 2
SECONDARY APPLICATIONS	
	VMware vSphere ESXi 4.1

The network file server configuration is described in the table below:

Table 25 ETF's Existing File Server Configuration

SERVER NAME	NETWORK FILE SERVER
Server Role	ETF file share
Server Location	Badger Rd Server Room
HARDWARE CONFIGURATION	
Server Brand	IBM
Server Model	HS20 (IBM Blade Server)
CPU Type	Xeon 3.00GHz
CPU Number	Dual Core
Disk Space	SAN based disc storage (C:10 gig, D: 15 gig, E: 534 GB)
Memory	2 GB
SOFTWARE CONFIGURATION	
Operating System	Server 2003 Standard Edition
Patch Level	SP 2

The three job servers in the above network diagram have the following configurations:

Table 26 ETF's Existing Job Server Configuration

SERVER NAME	UDMSP1 JOB SERVER
Server Role	
Server Location	Badger Rd Server Room (vSphere)
HARDWARE CONFIGURATION	
Server Brand	IBM

SERVER NAME	UDMSP1 JOB SERVER
Server Model	HS22V
CPU Type	Xeon 2.67 GHz
CPU Number	2vCPU
Disk Space	20 GB
Memory	1 GB
SOFTWARE CONFIGURATION	
Operating System	XP Pro Ver. 2002
Patch Level	SP3
SECONDARY APPLICATIONS	
	VMware vSphere ESXi 4.1

Table 27 ETF's Existing Job Server Configuration

SERVER NAME	UDMSP2 JOB SERVER
Server Role	
Server Location	Badger Rd Server Room (vSphere)
HARDWARE CONFIGURATION	
Server Brand	IBM
Server Model	HS22V
CPU Type	Xeon 2.67 GHz
CPU Number	2vCPU
Disk Space	25 GB
Memory	3 GB
SOFTWARE CONFIGURATION	
Operating System	XP Pro Ver. 2002
Patch Level	SP3
SECONDARY APPLICATIONS	
	VMware vSphere ESXi 4.1

Table 28 ETF's Existing Job Server Configuration

SERVER NAME	UDMSP3 JOB SERVER
Server Role	
Server Location	Badger Rd Server Room (vSphere)
HARDWARE CONFIGURATION	
Server Brand	IBM
Server Model	HS22V
CPU Type	Xeon 2.67 GHz
CPU Number	2vCPU
Disk Space	25 GB
Memory	3 GB
SOFTWARE CONFIGURATION	
Operating System	XP Pro Ver. 2002
Patch Level	SP3
SECONDARY APPLICATIONS	
	VMware vSphere ESXi 4.1

Faxing at ETF is handled through a combination of a 4-line fax server and standalone fax capabilities integrated into Multi-Function Print (MFP) devices throughout the agency.

The fax server is an aging Castelle FaxPress 5000. Three fax lines are configured for incoming faxes only; faxes are automatically routed to printers in the business areas. One line is designated for incoming faxes to the Secretary's office; these are manually routed by the Secretary's office staff. This fax server is capable of providing outbound faxes and integration with Exchange, but these features are not configured. Users can be alerted when faxes are sent to their queue if they choose. Faxes are either automatically routed to printers or manually routed through the Secretary's office as no staff members receive faxes directly.

Several workflows have been built (in Step2000) by the business areas to handle incoming faxes. While these workflows are functional, they are not optimal, lacking documentation and the capability of automatically populating members' folders with new documents.

All but one of the 10 standalone MFPs are configured for outbound faxing. Staff members are able to scan and send outbound faxes from any of the 10 MFPs configured with a phone line. One of the MFPs is configured with inbound capability designated solely for emergency pharmacy fulfillment issues.

WI State statutes require that ETF be able to receive faxes from constituents AND that faxes be date- and time-stamped upon receipt.

B.1.3.6.3 ECM APPLICATION SOFTWARE

There are four specific software components (and use of additional software) to the ECM configuration outlined above:

- InputAccel
- Content Manager
- Step2000
- AFP
- Other software – correspondence creation

We describe each in the sections below.

B.1.3.6.3.1 INPUTACCEL

The scanning software used at ETF is EMC Captiva InputAccel, version 5.4. ETF has licenses for the following modules of the software:

- 9 licenses for indexing, supervisor module, OCR, QA
- 1 license for Image Export
- 1 license for ODBC
- 2 licenses for InputAccel copy
- 1 license for image enhancement

The package has recently been upgraded to version 5.4. However InputAccel is due for replacement, either with an updated version or with a similar package such as FileNet Capture or Kofax.

B.1.3.6.3.2 CONTENT MANAGER

The image store used is IBM Content Manager, version 8.4.3. As with InputAccel, the package has performed well since its installation in 1997. ETF has no plans to replace the package. However, the current licensing scheme is for named users only (ETF has 310 licenses). The 310 licenses are for view and update (image status update or adding annotations). ETF plans to make stored images (e.g., correspondence) available for viewing by members coming into the system via the portal. There is a separate licensing scheme that only provides view capability and is much more cost effective than the update authorized licenses, but which is still a considerable expense. ETF will consider switching to a different product if proven to be more cost-effective.

B.1.3.6.3.3 STEP2000

The Universal Document Management System's Step2000 integrated workflow product has reached the end of its useful life at ETF. The company that originally developed Step2000 has gone out of business and sold the Step2000 product to a successor (Vanguard Systems). The product is still supported, but it does not have the power to provide the extent of workflow services that ETF wants to see in a new solution.

B.1.3.6.3.4 AFP

Advanced Function Presentation (AFP) is an IBM mainframe standard in the IT print industry. It is capable of printing a large volume of data at very high speeds while maintaining the mainframe data integrity and reprint ability.

AFP intercepts a mainframe print stream to merge with AFP Form Template Overlays (OGL code) and maps the print data into the form with Formdef/Pagedefs (PPFA code). Page segments developed from TIFF, GIF or JPEG can imbed images and graphics to the presentation. AFP supports PCL and Postscript covering a full range of text font styles. Outputs can be printed, presented in PDFs, emailed or stored electronically and printed later, maintaining full image fidelity.

Over the past 15 to 20 years, ETF has taken advantage of the capabilities of AFP to produce quality presentations and reprints from stored data archives. Most notable of these are the Statement of Benefits, 1099-R IRS reports and Annuitant Statements (as well as requested reprints of any of the above). Each of these report archives stores between 150,000 to 500,000 report pages annually. The assumption is that a new BAS will not run on the mainframe and therefore will not take advantage of AFP to reproduce reports from archived data.

B.1.3.6.3.5 CORRESPONDENCE MANAGEMENT

There is no specific tool used to automatically create correspondence. Staff members use MS Word to modify copies of previously created correspondence as the basis for new correspondence to members and employers.

B.1.3.6.4 ETF'S CONCERNS ABOUT THE ECM SUB-SYSTEM

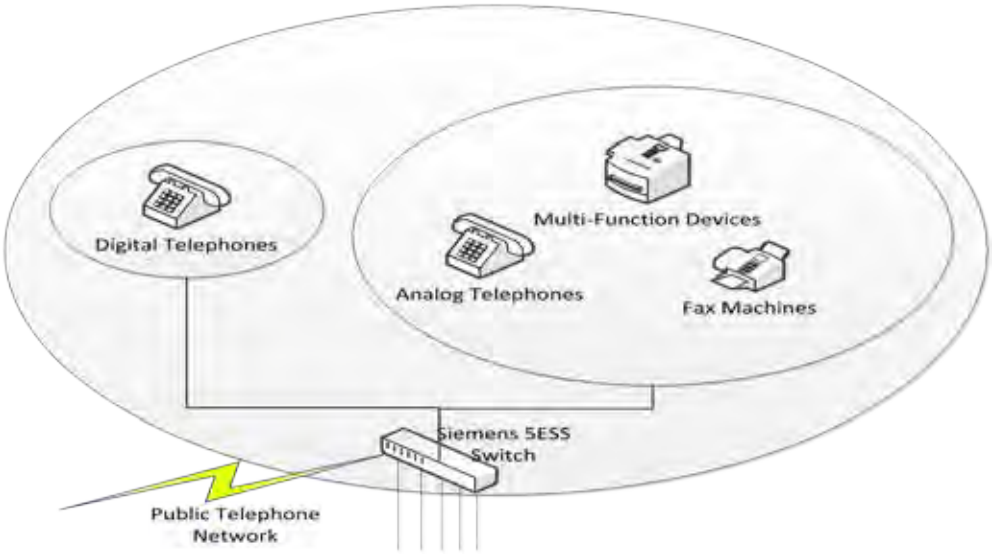
As noted in passing above, ETF has the following concerns about the current ECM components:

- **Step2000** - lacks the support and power to provide the extent of workflow services that ETF wants to see in a new solution
- **InputAccel** - the package has recently been upgraded to version 5.4, however ETF is due for replacement, either with an updated version of InputAccel or a similar package such as FileNet Capture or Kofax
- **Content Manager** - ETF does not currently have the licenses required by IBM to make electronic documents available to employers and members, even on a read-only basis.

B.1.3.7 TELEPHONY SUB-SYSTEM

ETF's current telephony services include a mix of analog (80%, including 14 fax lines) and digital (20%) lines, all of which are accessible through a Siemens 5ESS switch connected to five trunk lines and also accessible directly through the public telephone network. All of the 400 phones are provided with voice mail and Centrex features for their users. The telephony services provide a foundation upon which ETF has installed IVR (Integrated Voice Response) and ACD (Automated Call Distribution) applications. A simple view of the telephone network appears below:

Figure 8 ETF Telephone Network



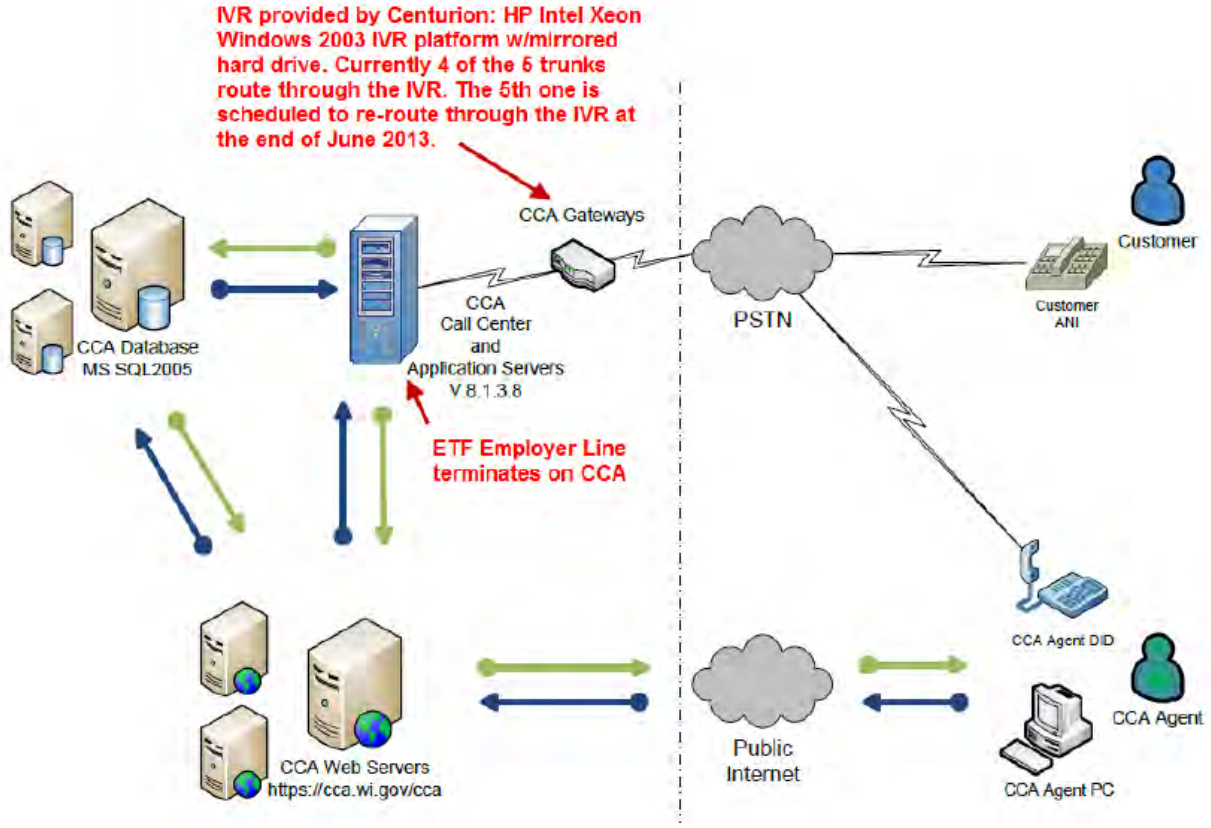
ETF has multiple trunk lines that provide the following services:

- ETF's Main trunk line terminates in the IVR system which distributes the calls to the appropriate destination
- The Self Service line provides 24x7 access to ETF's WRS members on a variety of benefits that are administered by ETF. The ETF Self-Service trunk line receives an average of 3,000 calls per month. Like the Main line, the Self Service line terminates in the IVR system. Callers can opt out of the IVR system to a call-center specialist at any time during their call
- All other Trunk Lines, Employer Line, Employer Help Desk Support Line, and the Telephone Message Center, are redirected to ETF's main line through call forwarding activation
- The ETF Mail Line also receives calls for general distribution obtained by requesting the input of an employee's five digit extension.

Depending on the caller and the caller's request, the call destination may be an ETF staff member's five-digit extension, advanced voice mail services, or the Automatic Call Distribution application, Call Center Anywhere.

Figure 9 provides a schematic depiction of the Call Center Anywhere architecture

Figure 9 Call Center Anywhere Network Diagram



The entire telephony system is managed and maintained by staff within ETF

Several methods and tools are used to obtain data and subsequently produce reports of call volumes, making such reports both labor intensive and at risk of inaccurate statistics.

B.1.3.7.1 HARDWARE AND SYSTEM SOFTWARE

ETF currently receives on average about 15,000 calls per month. All of the calls are processed through the switch with the caller using voice or touch-tones to select the ultimate destination. See appendix E.24 ETF Call Flow Narrative.

Table 29 ETF's Existing IVR Server Configuration

SERVER NAME	INTERACTIVE VOICE RESPONSE (IVR)
Server Role	Automatic routing of incoming telephone calls for transaction processing
Server Location	ETF, 801 W Badger Road, Madison, WI
HARDWARE CONFIGURATION	
Server Brand	HP Intel Xeon Windows w/mirrored hard drive

SERVER NAME	INTERACTIVE VOICE RESPONSE (IVR)
Server Model	HP ProLiant ML370 Generation 5 Server
CPU Type	Intel Xeon E5440 @ 2.83GHz
CPU Number	One
Disk Space	136GB
Memory	2GB
SOFTWARE CONFIGURATION	
Operating System	Windows 2003
Patch Level	CBasepac version 10.0.203
	Solid Database 6.3
SECONDARY APPLICATIONS	
	Tomcat 5.5 (Web Administration only)
	For performing back-ups; Symantec V12.5
	See appendix for IVR for other functions and features.
OTHER FEATURES	
	Two (2)16 port analog boards
	Three (3) 12-port analog boards
	CARES Voice Engine
	58 port licenses
	12 voice port licenses
	IVR Phrase Administration

ETF's Automatic Call Distribution (ACD) server resides at the Wisconsin DOA on Wilson Street. The service is provided by Contact Center Anywhere (CCA). For a diagram of the network, see Figure 9 Call Center Anywhere Network Diagram. CCA supports features that ETF has not implemented such as External and Internal Chat and email notification.

ETF's voice mail server is under contract to ATT using Cisco Unity Communications.

B.1.3.8 WEB SUBSYSTEM

The Department of Employee Trust Fund public-facing website, etf.wi.gov, provides customers with the following services:

- Current and archived news, actuarial reports, publications, frequently asked questions, and background information regarding the Department such as the benefits available, the services it provides and the boards that oversee it.
- Calculators for:
  - Retirement Benefits

  - Income Tax Withholding
  - Accelerated Payment Costs
  - WRS Forfeited Service Costs
  - Variable Excess/Deficiency
- Access to myETF Benefits where members can view their historical data, and update contact and dependent information regarding health insurance options. The site also allows members to select their health insurance plan
- Access to the ONE site where employers can administer their employee's ETF-administered benefits and other related responsibilities
- Access to forms and brochures sorted: alphabetically, numerically, by type (employer, WRS, insurance, ERA), and top 12 most downloaded
- Glossary of Terms
- Calendar of ETF Learning Opportunities for members by district
- Access to online training opportunities for employers
- Video Library
- Ability to electronically request a retirement benefit estimate
- Ability to email the department
- Access to current ETF career information
- Links to many relevant sites
- Ability to subscribe to ETF E-mail Updates
- Ability to search the site through Ultraseek search engine
- Soon members will also have access to view their benefit information related to Accumulated Sick Leave Credit Conversion Program and Supplemental Health Insurance Conversion Credit

A map to the entire public-facing website appears in Appendix E.10 ETF Web Site Map.

B.1.3.8.1 WEB SUBSYSTEM NETWORK DIAGRAM

A copy of the network diagram appears below as Figure 10 ETF Web Subsystem Network Diagram

Figure 10 ETF Web Subsystem Network Diagram

This material redacted

B.1.3.8.2 WEB APPLICATION SOFTWARE

Software used in support of the web includes:

- GovDelivery – ETF E-mail Update (January 2013)
- Go To Training
- SortSite 4.7
- PowerMapper 5.0
- Adobe Acrobat X
- Urchin 6.5 and AW Stats analytic tools 7.0
- WAVE Web Accessibility Evaluation tool 1.1
- Filezilla 6.1 and AIRs 2.5 are used to publish the site
- Sonic Foundry Mediasite 6.5
- Articulate Studio 9 and Articulate Storyline (NEW)
- Tortise CVS 2.5 installation is used on the Extranet
- DreamWeaver MX 6.0
- Adobe's Creative Suite 5.5, which includes CS5.1, Illustrator CS 5.1 and InDesign CS5.5
- IBM RAD.

B.1.3.9 OMBUDSPERSON SUBSYSTEM

ETF maintains a mainframe-based benefit complaint system (BCS) that is utilized to document the receipt and track progression of complaints/inquiries received by ETF related to ETF-administered benefit programs. These complaints may subsequently be elevated to the formal Administrative Review process including Departmental Determinations or Board Appeals. In addition, a member may have other appeal rights elsewhere (including but not limited to Independent Review Organizations and Office of the Commissioner of Insurance) that may also require documentation and tracking within BCS.

BCS is the sole system available to document ETF staff action and remarks as they work with interested parties to resolve member issues that have been escalated to Ombudsperson Services or the ETF Administrative Review process. In the past, BCS was utilized by Ombudspersons to produce statistical reports, to identify potential quality assurance initiatives, department policies that need review, and to advocate for improvements in the administration of benefit programs. Due to system limitations and data integrity concerns, BCS is only utilized for complaint documentation and Excel Spreadsheets are now utilized to gather statistical information for reporting purposes.

At the end of 2012, the BCS had 9,083 records relating to 7,014 members that will need to be ported into the appropriate location within the BAS solution. These records are contained within those listed in Table 17 DB2 Database List with Sizing Information (As of 4/23/2013).

B.1.4 CURRENT SYSTEM INTERFACES

ETF maintains a number of interfaces between its legacy systems and both internal and external programs, systems, and organizational entities. They are documented below.

B.1.4.1 INTERNAL TO ETF

The interfaces internal to ETF are documented below

1. **Oracle Call Center Anywhere**: This system provides screen pop-ups to call center personnel responding to telephone inquiries from benefit recipients, displaying caller data when agents answer the phone. Its use for this purpose is mandated by the Wisconsin Department of Administration (DOA). For reference, see:

   http://www.doa.state.wi.us/subcategory.asp?linksubcatid=1400&locid=155

2. **PeopleSoft Financial Management (version 9.2)**: This will be the agency- and state-level financial accounting software package. A project to implement PeopleSoft is currently underway (see Section B.1.6.3).

3. **Finalist**: This is a Pitney-Bowes software package used by current ETF systems for normalizing address formats to postal standards (batch and online), sorting mailings to take advantage of reduced postal rates, and so forth. It runs on the IBM mainframe maintained by DOA as a shared resource for state agencies. If the proposed system does not provide equivalent functionality, it will need to interface with Finalist.

4. **National Change of Address (NCOA)**: ETF currently uses a package from Satori Software (http://www.satorisoftware.com) before every mass mailing or quarterly against each database file to apply national change of address entries to benefit recipient accounts. If the proposed system does not provide equivalent functionality to update addresses from the national change registry, it will need to interface with the Satori package.

5. **IBM Content Manager**: This is ETF's repository for all scanned images. Images are sent to, stored in and retrieved from this product. The BAS will need to interface to Content Manager to retrieve images for conversion purposes. ETF is also open to retaining use of Content Manager for image storage and retrieval, in which case the BAS needs to interface with Content Manager on-demand in real time.

B.1.4.2 INTERFACES WITH EXTERNAL PARTNERS

The interfaces to programs and entities external to ETF include:

1. **Employer Reporting**: Employers can submit earnings, service and demographic information via secure FTP and HTTP-based file uploads

2. **WiSMART**: This is the system of record for Wisconsin state financial accounting. It is administered and managed by DOA. ETF's agency financial accounting system interfaces with this package, and ETF's long-term goal is for all WiSMART interfaces to be done through the agency's new FMIS system. We expect, however, that a few direct WiSMART interfaces may need to be developed, at least as part of a staged transition to the BAS

   - **BPS Daily Upload to WiSMART** – BPS provides for a daily upload file to WiSMART with data that will generate an Accounts Receivable (AR) transaction when monies must be recovered due to overpayments of benefits

- **BPS Monthly Upload to WiSMART** – As part of the monthly payroll, BPS sends an annuity file to WiSMART containing total disbursements by funding source (fixed, variable, etc.) and benefit type (retirement, disability, annuitant death, etc.). ETF also sends to WiSMART cash receipt transactions deducted from annuity payments to satisfy AR's
- **LSPS upload to WiSMART** – As part of the weekly pay cycle, the Lump Sum Payment System uploads a file to WiSMART containing disbursement totals by funding source and benefit type as well as cash receipt transactions ETF has deducted from lump sum payments to satisfy AR's
- **Employer Monthly Reporting to WiSMART** – During the monthly reporting cycle, all employers report total contributions to be deposited into the ETF retirement funds for that month based upon the number of employees and the employee's salaries. The employers enter employee earnings into an online application (the ONE System), which uses the entered earnings to calculate the contribution amount the employer owes ETF. When a paper report is received, ETF staff enters the earnings information into the ONE System to calculate the contribution amount owed. The employer is informed of the amount they owe and the employer pays the required contribution amount via an ACH transaction. The ACH transaction creates a cash receipt transaction in WiSMART. These cash receipt transactions are downloaded to the Edit Account Table database
- **Monthly Health Insurance Allocation System (EVP):** The EVP system tracks and reports how much money employers owe for monthly health insurance. ETF staff manually enter the information into an Excel spreadsheet (where it can be analyzed by employer and the various organization costs such as health insurance, drug costs, and administration fees). This MS Excel spreadsheet is then uploaded into WiSMART creating AR transactions
- **WiSMART A/R Download –** The retirement calculation (RetCalcs) subsystem displays receivables (ARs) from WiSMART for review and possible recovery at the time a retirement annuity is set up.

3. **DOA Central Payroll**: This is the Wisconsin state employee payroll system. State (not local) employee payroll deductions for insurance programs administered by ETF are sent to this system
4. **DOA Check Print and ACH Payment Extracts**: Payments made from the annuitant monthly payroll and from the lump sums payroll system must be channeled through DOA. Separate extracts are performed for checks and electronic payments
5. **DOA Check Ingest**: Check numbers are assigned by DOA when checks are printed. Each check print extract is followed by an ingest file. This is used to update ETF systems with the check numbers assigned to payments
6. **DOA Print Center Extracts**: High volume printing is performed as a service by the DOA print center:
   - PDFs are transferred to the print center via FTP for various system output
   - Other payroll-related print needs (e.g. "mailers" to accompany monthly payroll) are satisfied by transferring extract files to the mainframe and generating the print files using Advanced Function Printing (AFP). *ETF desires to eliminate this style of printing.*
7. **DHS Death Match**: File received from the Wisconsin Department of Health Services (DHS, a.k.a. DHFS). Each month ETF matches this against the annuitant payroll to determine whether to stop payments to deceased annuitants

8. **Social Security Administration Death Match**: ETF retrieves this from the SSA website each month and matches it against the annuitant payroll to determine whether to stop payments to deceased annuitants
9. **Milwaukee Teachers Health Ingest**: The monthly ingest process for Milwaukee Teacher health insurance deduction information. Milwaukee Public Schools provides updated health insurance information on a monthly basis. This ingest ensures the annuitant payroll has the most recent information
10. **Milwaukee Teachers Health Extract**: The monthly extract process from annuitant payroll for Milwaukee Teacher health insurance deduction information
11. **Milwaukee Teachers Life Extract**: The monthly extract process from annuitant payroll for Milwaukee Teacher life insurance deduction information
12. **Vision Care Extract**: Monthly extract of vision care deduction information from the annuitant payroll system. This is used by the vision care insurance provider for payroll reconciliation
13. **Vision Care Ingest**: Annual ingest from the vision care insurance provider containing a row for each annuitant having insurance. Used to create premium deductions for the upcoming year
14. **Minnesota Life (MLIC) Monthly Extract**: The monthly annuitant payroll extract process for Minnesota Life insurance; deduction information used by MLIC for reconciliation
15. **Minnesota Life (MLIC) Annual Extract**: Yearly extract from payroll system of annuitants with life insurance coverage. Used by MLIC to generate data for the Minnesota Life Periodic Ingest
16. **Minnesota Life (MLIC) Periodic Ingest**: The annual ingest process for Minnesota Life insurance premium updates deduction information on the annuitant payroll. Runs twice a year, when needed (usually in spring, March and May). One run is for the state employees and the other for local employees
17. **Minnesota Life (MLIC) Periodic Insurance Certificate Ingest**: Similar to the Minnesota Life Periodic Ingest, but data in this file is used to print new life insurance certificates for benefit recipients whose coverage amount has changed
18. **Long Term Disability Insurance (LTDI) Ingest**: This annual ingest from Aetna (the third-party administrator for LTDI) updates ETF data relevant to this type of insurance
19. **IRS Filing Extracts**: On an annual basis, IRS filings are made for W2s, 1042s, and 1099-Rs from the annuitant payroll system, and for quarterly 1099-Rs/1042s from the lump sum payroll system
20. **Wisconsin Department of Revenue (DOR) Filing Extract**: Similar to the IRS filing extract, ETF makes annual payroll system 1099-R/1042 filings with DOR
21. **Health Insurance Enrollment**. The BAS will become ETF's system of record for enrollments, changes and terminations of health insurance for benefit recipients. Data itemizing changes to coverage is propagated to 19 separate *health plans and pharmacy benefit management organizations* using HIPAA-mandated ANSI-834 and ANSI-820 formats. Receipt acknowledgements of transmissions are received back from plans in ANSI-999 format. In addition, a process to reconcile full coverage records of each health plan to ETF coverage records is (and must remain) available
22. **Electronic Health Insurance Enrollment**: We accept batch XML input from *employers* for Health Insurance Enrollment of their employees

23. **Group Life Enrollment**: ETF accepts batch XML input for a certain subset of University of Wisconsin new enrollees into the group life insurance program
24. **Income Continuation Insurance (ICI) Enrollment**: ETF accepts batch XML input from the University of Wisconsin system for new enrollees into the ICI program
25. **Centers for Medicare and Medicaid Services (CMS)**: Exports of health insurance information related to benefit recipients at or nearing the age of Medicare coverage. Imports of match information from CMS into the health insurance system. This is the "VDSA" program at CMS
26. **US Bank**: Maintains an ACH payment system. Retirement and insurance systems' payment processes transfer control to US bank to enable employers to pay invoices by initiating ACH transaction on the US Bank site.
    - **Bank Lockbox** – There are two sources of bank box transactions. Bank box transactions occur when a check is written to ETF and needs to be deposited. The two banks process the checks working with DOA. Once the bank processes the check and sends the information to DOA, DOA in turn creates a cash receivable in WiSMART that credits ETF's account. The cash receivable is picked up in the nightly process and downloaded to the Edit Account Table database.

B.1.5 VARIOUS AVAILABLE SUPPORT SERVICES

In addition to the existing interfaces documented above, ETF has access to various support services providing capabilities that might be integrated into the BAS solution. They are described in the sections that follow.

B.1.5.1 WEB-BASED PAYMENT – ELECTRONIC LOCKBOX SERVICES

Wisconsin's Department of Administration (DOA) provides a broad set of services so that state agencies can receive payments and remittance data electronically. These services are called Electronic Lockbox Services, and include:

- Initial consultation to determine the most cost-effective and convenient combination of electronic lockbox services.
- Assistance in setting up all aspects of an electronic lockbox application including the e-payment web pages hosted by the State's e-payment gateway services provider, U.S. Bank (note: set-up of the agency's storefront web application is not provided).
- Assistance in trouble-shooting technical problems experienced in testing and in production. Continual monitoring of production e-payment transaction flow for fast identification and resolution of any problems.
- Automatic recording of daily cash receipts into WiSMART.
- Full reconciliation support.
- Automatic transfer of daily remittance data files to the DOA Division of Enterprise Technology (DET's) FTP Server.

An integral part of all electronic lockbox applications is the online acceptance of electronic payments (credit/debit/ATM debit card and e-check payments). The State of Wisconsin's online payment transactions are processed through an e-payment gateway service provided by U.S. Bank under the Enterprise Banking Services Contract.

As of the end of 2012, more than 90 e-payment applications have already been implemented under the State's contract, and over six million online payments have been accepted. During FY 2011, more than 1.1 million Wisconsin residents utilized this e-payment gateway to pay state agencies. And, at least 60 local governments utilize the State's Enterprise Banking Services Contract for their online payment applications, including the cities of Madison, Milwaukee, and Eau Claire, and 54 Wisconsin counties.

An e-Payment Services Technical Overview is available in Appendix E.11 E-Payment Services Technical Overview.

B.1.5.2 CENTRALIZED PRINT SERVICES

Among other services, DOA supports the following centralized printing and distribution capabilities:

- High-volume digital printing and copying
- Full color and black-and-white digital printing
- Large format printing
- Variable information printing
- Saddle and perfect book binding
- File correction and graphic design
- Print file archiving
- Address file cleansing
- Volume postage discounts
- Inserting
- Inkjetting
- Forms Storage.

ETF prints, folds, stuffs, and mails all of its one-off and low volume customer correspondence in the ETF mailroom. The agency currently takes advantage of the DOA's centralized services for some of its large-volume printing and distribution tasks. Other large volume printing and distribution is performed through state contracts with private print vendors. The printing of Annual Statements, election materials, and the WRS news is sub-contracted (using an annual competitive procurement process) to a private sector firm. Since the agency has not (yet) chosen to perform all of its printing at the state print shop (in part because there is no single file accumulation and electronic transfer facility for all print jobs), the quality of the delivered service has been variable. However, the services to meet all of ETF's printing and distribution requirements appear to be available.

B.1.6 PROJECTS CURRENTLY UNDERWAY

In anticipation of work on the new BAS solution implementation, ETF has cut back significantly on the number of projects underway. Only those that will provide a significant short-term payback, are required by recent legislation, or pertain directly to the BAS implementation are currently underway. Those projects are described in the sections that follow.

B.1.6.1 ENTERPRISE BUSINESS MODEL (EBM)

Planned Start / Finish Dates: January 2012 – December 2013 (approximate)

ETF Staff Requirements: Subject Matter Experts from all business areas have been and will continue to be involved on an as-needed basis. In addition, ETF has engaged an independent consulting firm specializing in this work to lead the data gathering effort.

Purpose and Impact: This project has been designed to gather the following information:

- **Business Scenarios** – thorough documentation (typically through the collection of use cases) of ETF's customer-centric business processes
- **Business Rules** – gathering of all of the business rules associated with each of the business processes – and as appropriate, linking of those business rules back to the statutes or business policies that justify them
- **Business Calculations** – extraction from the discussion of each process the specific calculations that are performed during the execution of the process. (We note that while some agencies have used automated tools to extract business calculations, ETF has taken a top-down approach to gather the calculations and then confirm them against the spreadsheets used by the SMEs or against the code itself)
- **Data Documentation** – determination of each data element necessary for, modified, or generated by each of the documented business processes. (This phase is incomplete as the RFP is issued. The EBM Project Plan originally specified that data elements necessary to support the scenarios would be identified in EBM Phase 3, and compared to ETF available data in EBM Phase 4. Some EBM Phase 3 work may be accomplished over the summer months, or it may be targeted as implementation work to be performed jointly with the selected BAS vendor.)

B.1.6.2 DATA INTEGRITY

Planned Start / Finish Dates: January 2013 – January 2016 (approximate)

ETF Staff Requirements: Data Stewards from all line organizations as well as a data modeler, programmers, and data base analysts will be involved on an as-needed basis.

Purpose and Impact: ETF has engaged the services of an experienced data cleansing vendor to assist ETF in the gathering, profiling, cleansing and migration of its legacy data. This project has been divided into multiple phases:

- **Discovery** – during which the selected vendor, ICON, will find and document all of the data sources used in the conduct of ETF business
- **Data Profiling** – during which ICON and ETF will jointly discover the state of the data – in part through use of the business rules that have been gathered and documented during the EBM project (see Section B.1.6.1), thus further validating the business rules that have been gathered
- **Planning for Data Cleansing** – during which ICON and ETF will develop the strategy that minimizes risk and optimizes the correction of data prior to its conversion to the new BAS – while continuing to do business using the multiple legacy systems
- **Execution of Cleansing Plan** – which will include making systematic improvements to the quality of data in legacy system databases, as well as the creation and use of a target staging database (TSD) other than the existing legacy system databases. ETF would expect to

coordinate this phase (as well as the planning) with the selected BAS vendor to ensure minimal risk and optimal clean data available for conversion into the BAS

B.1.6.3 FMIS (FINANCIAL MANAGEMENT INFORMATION SYSTEM) IMPLEMENTATION

Planned Start / Finish Dates: January 2013 – April 2014

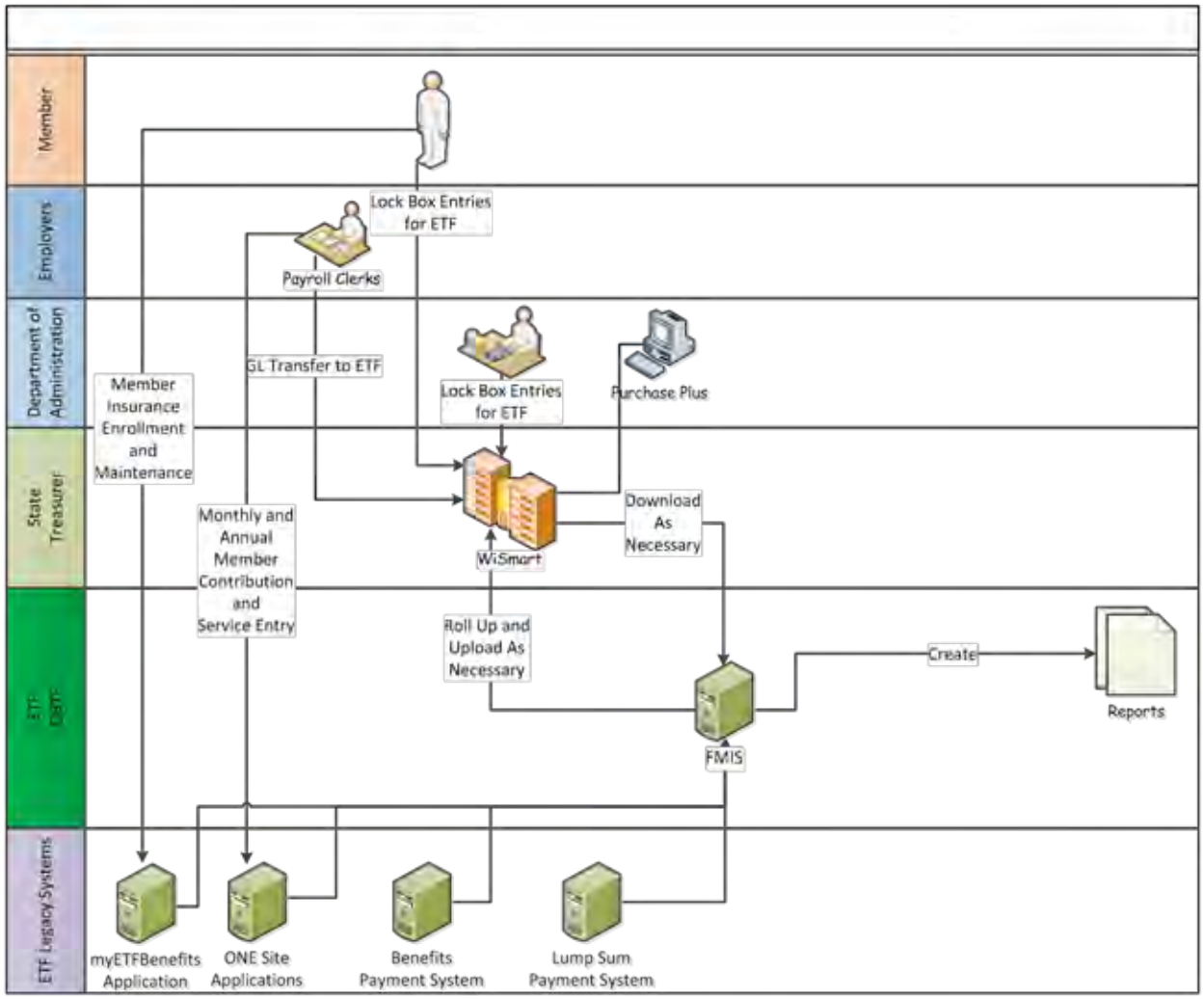
ETF Staff Requirements: Office of Budget and Trust Finance (OBTF) staff as SMEs and as yet undetermined number of IT staff.

Purpose and Impact: Replace the multiple applications, spreadsheets, and databases that today are used (in conjunction with the State WiSMART financial system) with a PeopleSoft Financials solution. In addition to consolidating financial operations within a single, capable system, there are at least two other goals of the project:

- **Minimize Impact on Legacy Systems** – the suggested architecture for integration with the existing systems would take the data as currently provided from ETF's legacy siloed programs and make it available for the FMIS to work with as appropriate. In addition, the changes to WiSMART would also be minimized
- **Ensure Single Interface for BAS Integration** – the selected FMIS (PeopleSoft Financials) has a programmatic interface that will permit ready integration between the BAS and the FMIS.

Note: With reference to Figure 6 Current ETF Accounting System Data Flow, the data flow prior to the start of the FMIS implementation project, the data flow after the implementation is expected to look like that depicted in Figure 11. Also note that the subsequent BAS implementation will have a significant impact on the bottom swim lane of the data flow diagram.

Figure 11 Post FMIS Implementation Accounting System Data Flow



B.1.6.4 AUTOMATED CALL DISTRIBUTION (ACD) SYSTEM REPLACEMENT

Planned Start / Finish Dates: The exploration phase of a project to replace the current ACD is currently underway. Once the exploration is complete, it may be followed by a procurement and implementation that are currently envisioned to occur in 2017.

ETF Staff Requirements: None, other than the ETF telephony specialist.

Purpose and Impact: Since the expiration of the Oracle support contract, the current ACD has been supported by Wisconsin's Department of Administration's DET. This project is intended to perform an analysis of various state agencies' functional needs of a centrally provided ACD. Should those needs go beyond what is available from the current system, DOA will procure and implement a new system.

B.1.6.5 LEARNING MANAGEMENT SYSTEM

Planned Start / Finish Dates: Start of project activities (Initiation, Planning, etc.) anticipated after position of training director is filled.

ETF Staff Requirements: Division of Management Services (DMS) staff as SMEs and as yet undetermined number of IT staff.

Purpose and Impact: Project to enable tracking of employee training.

B.1.6.6 ONLINE VOTING CAPABILITY FOR ETF AND TR BOARD ELECTIONS

Planned Start / Finish Dates: April 2013 – December 2013

ETF Staff Requirements: Division of Management Services (DMS) and Office of Communications and Legislation (OCL) staff with minimal IT assistance.

Purpose and Impact: Project to explore elections "electronically by use of the Internet, by a combination of methods, or by any other reasonable means."

B.1.6.7 SICK LEAVE APPLICATION AND ENHANCEMENTS

Planned Start / Finish Dates: Currently work underway with various enhancements to be implemented through 2013 and continuing into 2014.

ETF Staff Requirements: Division of Retirement Services (DRS) staff and a number of PMO and IT web development staff.

Purpose and Impact: Provide an automated means of tracking of state employee-accumulated sick leave that can be applied against health care premiums upon retirement, layoff, death, etc. Enhancement of functionality of the Accumulated Sick Leave System (AcSL) application includes:

- Implementing the ability for employers to enter sick leave certification information directly into AcSL
- Generating “deplete” letters as advance notice to members when their account balances are close to being exhausted
- Generating annual account statements
- Online member account access, including a sick leave calculator.

B.1.6.8 ACT 32 IMPACT ANALYSIS AND COMPLIANCE

Planned Start / Finish Dates: Parts of Act 32 work is currently being worked on (Ex: Vesting), project completion is dependent on availability of resources.

ETF Staff Requirements: BA and SME staff from the Division of Retirement Services (DRS) staff, Project Management Office (PMO) staff, and a number of IT web and mainframe development staff involved with iterative work.

Purpose and Impact: Work to comply with 2011 WI Act 32. It is broken down into five phases:

- Vesting
- Military Service
- Milwaukee MILES/Meca (Milwaukee County Enrollment Services)

- Eligibility
- Cleanup/Misc.

B.1.6.9 ETF ANNUAL PROCESSING

Planned Start / Finish Dates: Annual project with the majority of the work being done from October through June for work related to annual processing.

ETF Staff Requirements: All ETF staff involved with annual processing including the Division of Retirement Services (DRS), Office of Budget Trust and Finance (OBTF), Division of Insurance Service (DIS), Project Management Office (PMO), and Bureau of Information Technology Services (BITS).

Purpose and Impact: Work involves managing major deliverables that ETF provides to its clients on a yearly basis. The objectives of this project are to:

- Coordinate resources and timelines for the various tasks that occur throughout the agency
- Make sure that ETF can provide key deliverables timely to ETF's customers
- Help manage ETF resources in a more proactive manner.

B.1.6.10 JUST-IN-TIME IMAGING OF EMPLOYER FILES

Planned Start / Finish Dates: April 2013 – Ongoing

ETF Staff Requirements: Division of Management Services (DMS) staff with minimal IT assistance.

Purpose and Impact: This project will ensure the records are permanently and safely stored, easily accessible to business users, and available in a format compatible with current and future business practices/methods. The project is divided into two phases:

- Set up a system and process to convert ETF's archive of paper-based employer records to electronic images in the current image archive, due for completion by summer of 2013
- Once the system is ready, as requests are made for copies of employer files, to scan the contents of the requested file into the repository so that the contents are available in imaged format.

When all files have been scanned, this project is anticipated to increase the number of images in the archive by fewer than 1,000,000 pages.

B.1.6.11 SMOKING SURCHARGE

Planned Start / Finish Dates: The legislation for this initiative has not been passed at the time that the RFP is being issued. Once passed, the intent is to apply a surcharge to the health-care premiums of those covered by ETF-sponsored health insurance plans. This project will implement the legislation once it is passed.

B.2 CURRENT AS-IS BUSINESS FUNCTIONALITY

ETF has fully documented its enterprise business model in a series of Business Use Cases that appear in Appendix E.21. The Use Cases and accompanying scenarios provide information about what activities ETF performs (as opposed to how they are performed), the business rules which govern those activities, and the business calculations involved in completing the activities. Each scenario also documents the data elements and the forms (both those that trigger an activity and those generated as a result of accomplishing it) that are involved.

PART C PROCUREMENT SPECIFICATIONS AND DELIVERABLES

C.1 MANDATORY QUALIFICATIONS

A vendor must meet all of the qualifications outlined below as well as the requirements related to the mandatory Letter of Intent and Vendors Conference described in Sections A.2.3 Mandatory Letter of Intent and A.2.5 Mandatory Vendor Conference. Failure to do so may result in the rejection of the proposal.

C.1.1 PROPOSER MINIMUM QUALIFICATIONS

All references in this RFP to the "vendor" shall be construed to encompass both the vendor (prime contractor) and all subcontractors and infer the single source of responsibility as the vendor (prime contractor). See Section A.2.26 Single Source of Responsibility.

The vendor/prime contractor must cite recent experience (within the last five years) of at least three (at least one of which is in production) clients in which the vendor has been engaged in successful implementation of an integrated benefits administration system for a multi-employer, public employee retirement system in the United States or Canada. The referenced retirement systems must have the following characteristics:

- At least 800 employers that include a cross-section of employer types, e.g., school districts, municipalities, cities, etc.
- 100,000 members and annuitants combined (minimum)
- Multiple defined benefit plans
- At least one insurance program.

The vendor must include as part of Tab C-1.1 (Projects Meeting the Proposer Minimum Qualifications) of its Technical Proposal the projects it is using to satisfy the minimum requirements described above. For each project listed, the proposer must complete Attachment F.5 Vendor Client Reference Form containing information about the degree of similarity in the scope of the project ETF desires to that of the referenced client, the hardware configuration used, and the application systems produced. Further, indicate whether the client is a current client (i.e., one with whom a project is currently underway) or a former client (i.e., one for whom no work is being performed or whose project is in the warranty / maintenance period). For all references, include the site name, the name / title / phone / address of a client representative who is familiar with that work and may be contacted regarding the firm's qualifications and past performance, start and end dates of the contract, and the initial and final project cost, including all change orders. Provide a brief summary of the project including but not limited to business problem, scope, approach, and resources applied. In addition, provide for each reference a list of the major subcontractors that supported the project and a list of all vendor staff members proposed to ETF who also participated in the referenced client project.

Vendors are cautioned that the previous project experience being sought by ETF should be recent, but should not include projects only recently initiated. Ideally, the vendor can cite several references for projects that have been completed within the last three (3) years and at least one that began more than a year ago but remains in progress.

All references may be contacted by ETF to verify the vendor's claims. Vendors are advised to ensure that the contact person's telephone number is current and that each reference contact is willing to discuss the vendor's performance with the evaluation committee. ETF also reserves the right to contact <u>any</u> customer/former customer as a reference – with or without the vendor's consent.

References must be for at least three (3) different projects, as similar as possible to the ETF project, and three (3) different individuals with knowledge of the vendor's performance on those respective projects. One (1) person with knowledge of several projects qualifies as only a single reference.

Vendors are encouraged to include more than three references if they wish. If subcontractors are being proposed, preference will be given to vendors who can cite multiple projects on which the vendor / subcontractor **team** being proposed to ETF previously collaborated.

Reference information should be provided by using the form in Attachment F.5 Replicate the form as necessary to provide profiles of all client references.

C.1.2 PROJECT MANAGER MINIMUM QUALIFICATIONS

The vendor's proposed Project Manager must have a minimum of three (3) years of experience in project management within the last six (6) years. That experience must include two (2) years of work similar in scope to that outlined in Part C of this RFP with a public retirement system providing a defined benefit plan, having at least 800 employers, and having a membership of at least 100,000 members and annuitants.

As part of Tab C-1.2 (Project Manager Minimum Qualifications and References) of their Technical Proposal, the vendor must include the qualifications of the project manager assigned to accomplish this project and a completed Attachment F.6 Vendor Staff Resume Form for any project being used to satisfy the minimum requirements for the project manager as described above.

In response to the requirement that the vendor must designate a single full-time project manager to represent and oversee the project (a person who will serve as the focal and contact point for all business matters relating to the project), please confirm in the response that the project manager will:

- Be on-site at ETF at least 80% of the time (typically, four days per week)
- Be responsible for timely completion of all phases of the project
- Be responsible for meeting all contractual requirements for the duration of the project
- Attend status, quality review and acceptance meetings as required and present status and progress reports on the project
- Remain assigned to the project full time through final cutover and acceptance by ETF.

C.1.3 PROJECT TEAM MINIMUM QUALIFICATIONS

ETF recognizes that the entire proposed vendor team may not have worked together on a single previous project. However, ETF believes that there is value in having prior benefits administration system implementation and in having worked in a team environment. For that reason, ETF requires that the vendor must provide detailed descriptions of how the vendor's team experience will meet the project requirements. Include team members' resumes (as discussed below), tailored to highlight experience and skills specifically relevant to their role on ETF's effort. This section of the proposal must include the qualifications of the project manager and staff to be assigned to accomplish this project and contain resumes for all identified key staff members (see Section C.6.4.6) as well as a table indicating on which projects (and in what roles) the proposed team members have worked highlighting where appropriate where they have previously worked together.

The vendor must provide a list of all the key personnel, as defined in Section C.6.4.6 of the RFP, to be assigned to any part of the project. Vendors are encouraged to specifically identify additional

project staff members if possible. Each staff member proposed shall be identified by title and by firm, as well as by project responsibilities and job functions and current client / home office location. The number of other personnel to be assigned shall be identified by job function and by firm.

ETF understands that the vendor may have one or more other proposals open and under consideration by other prospective clients and that vendor staff included in the ETF proposal may have been included in these other proposals. For any vendor resource so allocated, the vendor shall indicate in its proposal the role for which each such resource was assigned for each open proposal and the capacity (e.g., hours, % FTE) for which they have been proposed. In addition, the vendor will indicate what method it will use to resolve any conflict arising from the award of contracts competing for these resources.

Vendors shall also include the resumes of all key employees (project manager, lead analyst, and the other key staff), and any other proposed staff members who are identified by name in the proposal. Those resumes must describe in detail the employee's experience in similar efforts as well as past education and training. Each resume shall include as its first page a Resume Summary prepared by the vendor using the form provided in Attachment F.6 Vendor Staff Resume Form. Each Resume Summary **must** include three (3) professional personal references for the particular staff member. These professional references must be provided by vendor client staff members, from three different clients. Professional references from within the vendor organization are **not** acceptable.

Vendor must provide its staff volatility index, i.e., percent turnover over the past three (3) years and how that number is calculated. This volatility index should be provided both for the entire company and for the three referenced public employees' or teachers' retirement system implementation projects used as references.

Vendors must also confirm in this section of the proposal their understanding that:

- Personnel whose names and resumes are submitted in the proposal shall not be removed from this project without prior approval of ETF. Substitute or additional personnel shall not be used for this project until a resume is received and approved by ETF.
- ETF shall have the right to request, and the contractor will comply with any such request, the removal of any vendor staff member from all work on this project immediately.
- The replacement for any staff member who is removed from or leaves the project for any reason must match or exceed the replaced staff member in terms of skill level and experience. Such replacements are subject to ETF approval/rejection at the time of the assignment as well as at any time during the 90 days after the replacement begins work on the project.
- Vendor will pay to ETF a penalty of $50,000 should it remove from the project any key staff member or any other staff member who was more than 50% dedicated to the ETF project, except in the case of serious illness, death, termination of employment with vendor, or as a result of an ETF-initiated request that the staff member be removed. ETF reserves the right to deduct this penalty from whatever payments may be due the vendor or to invoice the vendor for it separately.

C.2 PROJECT SCOPE AND BACKGROUND-

C.2.1 NATURE OF DESIRED SOLUTION

The primary objective of this project is to implement a stable, state-of-the-industry, fully integrated solution capable of supporting ETF's mission for many years to come. That solution will enable ETF staff to perform all of their duties associated with:

- Financial accounting
- Calculation of member benefit estimates, i.e., retirement, disability, etc.
- Employee contribution and benefits
- Maintaining wage and contribution information
- Maintaining service credit information
- Processing requests for:
  - Information
  - Contribution refunds (separation benefits)
  - Contribution paybacks
  - Purchase of service credit
  - Withholding of insurance premiums (including health, life, disability and income continuation) and the related enrollment and management of multiple insurance programs
  - Health spending deductions
  - Actual retirement (i.e., including but not limited to researching/reviewing the member's service credits and earnings and contribution history, calculating benefits, setting forth retirement options, adding the member to the benefits payment capability).
- Improved data capture and analysis capabilities to enable the post-provision analysis of services, assisting ETF in determining which administrative functions are best provided by each of the stakeholders in the process, including in-house ETF staff or out-of-house by members themselves, employers, and/or third party administrators

all while using the workstations (PCs) on each desk tied together through an ETF-wide network via a browser-based system.

Additional objectives to be served by this procurement include:

- Improved service levels to members
- Improved, centralized management of active and inactive member, retiree, employer, and third party information through CRM (Customer Relationship Management) or CRM-like capabilities. Such management of information would include all member-specific data about all benefits for each member that allows TPAs, employers, members themselves, and ETF staff easy access to the complete picture of provided benefits
- Improved system workflow and increased work efficiency
- Increased and improved Web-based, self-service functions to members, retirees, and employers. See Appendix E.10 ETF Web Site Map for current ETF website contents

- Improved accuracy of all information collected, maintained, and provided by and for ETF, including the sort of information availability that permits seamless coordination of the various available benefits
- Improved timeliness and accuracy of responses to members' inquiries, making member self-service sufficiently robust that it becomes the "normal" way that members seek information, not just about their own benefits but in comparison of the various means in which they are provided, e.g., comparison of two health insurance plans at the co-pay, deductible, available services, physician, etc., level
- Improved system audit and control capabilities
- Inclusion of any proven new technologies that can provide cost-effective benefits to ETF's members
- A secure environment (one that includes authentication and authorization) for the receipt and transmittal of information related to members, retirees, and employers
- Increased system flexibility to modify workflow and processes in response to legislative or other changes
- Improved access to and reporting of relevant data for management and other reporting purposes, for example by collecting data on all claims-level data that would enable ETF management to make comparisons of cost and performance effectiveness across multiple health care plans.

In addition to the benefits application and related self-service functionality for members, employers and TPA's, the new solution is expected to include, but not be limited to, practices, procedures, workflow management elements, as well as all computer software necessary to support ETF's requirements (detailed in the following sections of this RFP). This includes all necessary documentation, training materials, and training in procedures and software.

'Standard' workflow management capabilities (examples including, but not limited to, queue management and ability to modify work packet routing) must be included in the proposed solution. Any workflow queues must be unlimited in size. The system must allow workers to organize how they want to work, i.e., in what order they want information presented to them – including, but not limited to, by date, by priority, and by type of work, that is, worker-level configuration and/or settings.

The proposed solution must offer complete integration of information processing, imaging, and other proposed technologies, e.g., internal email and workflow management, as well as all proposed and authorized options.

Finally, and perhaps most important, ETF requires that the new solution continue to assist the staff in their mission of providing the best possible service to our customers. ETF is committed to increasing its use of technology in providing ever more accessible and member-oriented service to its membership. ETF looks to the new solution to help move from the use of postal mail to far more extensive use of email and other Web-based technologies for ETF's member-based communications. ETF views Web-based, member self-service as a significant goal in the implementation of a new LOB solution.

ETF desires to accomplish these goals with as much standard "off-the-shelf" technology and software as possible, to optimize both efficiencies and effectiveness in its retirement services delivery offerings. The vendor is responsible for ensuring that the solution will meet or exceed all functional and performance requirements set forth in this RFP for 10 years after the end of the warranty period defined herein. If it does not meet the performance specifications and the reason for

that deficiency is jointly determined to be the vendor's error, as appropriate, the vendor will correct the solution configurations in a timely manner at no cost to ETF.

ETF will ask the vendor to specify all hardware components and commodity software products (whether new or upgrades) necessary to support the new solution. In addition, as described in Section C.5.7, the vendor will procure those specified commodity software products not provided as part of the ETF hosting environment. With regard to commodity software, the vendor is responsible for ensuring that the solution will meet or exceed all functional and performance requirements set forth in this RFP for the 10 year period ending after the end of the warranty period defined herein. If the solution fails to satisfy all RFP requirements as to functionality and performance owing to **either** (1) one or more components (or the omission of one or more components) in the suite of commodity software specified and provided by the vendor **or** (2) a shortfall in the number of client licenses specified by the vendor, the vendor will itself, at its own expense and not ETF's, purchase (or reimburse ETF for the purchase of), install, and suitably configure all new / replacement software products / licenses necessary to bring the solution into compliance with the RFP's requirements.

Vendors are encouraged to present solutions that embrace enabling technologies. Examples include but are not limited to browser- based applications that make extensive use of workflow management. ETF requires solutions that are based on mature, proven technologies (but not those that are old and antiquated, i.e., at or near the end of their life cycle), including but not limited to hardware and software. The solution proposed to ETF must generally reflect the capabilities available to the most technologically enabled state-wide public retirement systems. ETF desires proposals for modern solutions, i.e., open solutions, modern database management capabilities, industry standard hardware and software, and user-friendly web-based interfaces. However, ETF does not wish to be a test or "beta" test site for any technologies or solutions.

C.2.2 FOUNDATIONAL BAS "BEST PRACTICES"

Below we provide a list of principles that ETF considers benefits administration system best practices. These are the principles upon which ETF believes a new, state of the art, benefits administration system will be based:

- Vendors should describe how their solutions, as proposed, as designed, and as implemented, are based on and adhere to these principles
- The principles will be used as a basis for review of:
  - The language supplied in the vendor's proposal describing their solutions
  - Any system, module, or interface designs proposed by the selected vendor at each design review
  - Review for compliance and ETF acceptance of the ultimately implemented solution as built by the selected vendor

ETF's expectation is that vendors, understanding ETF's principles of best practices, would not implement a single module without having first passed a stringent internal (to the vendor) and subsequent ETF review of any proposed design. The goal of this approach is to give the vendor flexibility in how they would implement a solution that best fits ETF's requirements without requiring ETF to specify each step in each work process that must be part of the final solution. Vendors are encouraged to augment ETF's material below with amplification of the material, describing successful implementations that are based on these principles, how these principles inform their solutions in general – or how the principles fall short in various ways.

However, the vendor should note that these "Best Practices" as described below, <u>are not specific business requirements</u> for the ETF benefits administration system. They provide the context within which the business, functional, and technical requirements that appear in this RFP have been developed. If the vendor does not or will not embrace these principles, that lack of embrace must be identified and explained in Section B-1.5 Exceptions of their response, but the lack of the embrace will not, in and of itself, disqualify a vendor or their solution.

ETF's list of public pension retirement system best practices principles includes:

1. Image Documents on Receipt
2. Deliver Work via Embedded (**not** Bolted-On) Workflow
3. Implement Metrics (Management by Objective)
4. Reuse Program Modules (Single Engine)
5. Fully Parameterize the Solution (possibly through use of a Rules Engine)
6. Strive for Straight-Through Processing (STP)
7. Optimize Auditing
8. Ensure Application of Enhanced System Security Principles
9. Ensure Flexibility and Thoroughness in Member Communications
10. Maximize Opportunities for Customer Self-Service
11. Implement Proactive Member Services (Life-Event Planning)
12. Establish a Single View of the Member/Retiree
13. Enable Member-Centric Process Improvement
14. (To the Extent Appropriate) Involve Employers and TPAs as Partners
15. Shift Responsibility for Data Entry (e.g. to Members, to Employers, and to Third Parties)
16. Implement Enhanced Management Reporting
17. Appropriately Exploit Existing and Emerging Enabling Technologies
18. (To the Extent Possible) Implement Industry Standard Software and Software Solutions
19. Minimize Modifications to Software Code (i.e., ETF may modify their processes in lieu of the vendor changing software code)
20. Classify and Organized Data with Appropriate Data Stewards to Ensure a "Single Version of the Truth"
21. Actively Involve ETF Staff in All Aspects of the Project, Application Design, and Implementation.

C.2.2.1 IMAGE DOCUMENTS ON RECEIPT

This principle is actually more expansive than scanning on receipt. No retirement analyst (or anyone else in the agency except for those in the mail room/print shop) should ever work with paper documents. Any documents that come in to ETF should be scanned into the system on receipt and any documents that are produced as part of business processing (reminder letters, estimate forms, forms created as part of a fulfillment request, etc.) should be automatically printed and prepared for mailing in the mail room (with corresponding automated storage of the print image into an

appropriate repository without the need to print, scan, and index – it will be done automatically). Any business-related emails into or out of the agency should be captured and filed automatically, with the caution that receipt of an email request, like the receipt of a paper-based, faxed, or web-portal request, will initiate the same work in the same manner, using the same processing principles and "engines." Expanding on these various media:

- **Imaging:** ETF already uses an imaging system that has converted all paper-based member folders in ETF's possession into imaged documents and scans new documents into the system as they are received. The solution provides immediate, simultaneous access to all member documents. Employer and Third-Party paper documents are not yet fully imaged
- **Correspondence generation and management**: Correspondence with its members and employers is a critical piece of ETF's fulfillment of its duties as the provider of retirement services. While much of that correspondence today is paper-based, the goal is to move (to the extent possible) to electronic-based communication. (One example of how electronic features might replace features of the paper-based world is seen in monitoring a member's activity on the secure web-site; when they entered the site (and authenticated their identity), the fact that they accessed a web-delivered letter would be noted – and serve as a replacement for the required use of certified US Mail.) But regardless of the vehicle by which it is delivered, the correspondence must still be generated and captured in the member record (electronic case file). And if the member (as part of the definition of their communications profile) opts for electronic notification of the delivery of a new document, he or she will be given secure access to (with the ability to view, download and/or print, receive email or hard copy) the single, electronic copy of the document in the repository
- **Email**. E-mail use within ETF has not been standardized. E-mail addresses are not kept in a single repository; limited outreach is done to get customer email addresses on an ongoing basis or keep them up-to-date. In the future system, a framework for sending secure email with ETF security standards should be set. E-mail should be actively used as a means of communication with our stakeholders where possible. Outreach with customers regarding maintenance of email addresses should be proactive. Provide encrypted email and/or text confirmation upon receipt of email or text messages from members/employers.

The integrated use of these technologies has the potential to provide significant returns on ETF's investment while greatly decreasing the amount of paper that flows through the organization and simultaneously increasing staff member productivity. The following are examples of the concept's future system application:

- Imaging:
  - Simultaneous access to member folders by multiple users (including those in remote face-to-face meetings and possibly, authorized third parties such as employer HR)
  - Efficient scanning, automatic forms recognition, indexing, image quality assurance through well-thought-out redesign and implementation of the scanning process including automatic/ electronic image quality improvement tools
  - Minimize use of forms and possibly redesign forms to accommodate bar-coding of form numbers and of information on turn-around and form-filled documents
  - Recognition of 1-D and/or 2-D bar codes (using a 2-D font such as PDF 417) applied to all documents issued from within ETF with as much of the known information (form number/type, member name and number if form downloaded from web, process location if a turn-around document) bar-coded as possible

- Depending on the volume and variety of documents it receives each day, ETF will consider using Optical Character Recognition (OCR) to read printed data on scanned forms. However, ETF understands that although OCR/ICR is an enabling technology, it provides the most efficiency when used in high volume, repetitive form situations. ETF has a large number of form types, some of which are used only rarely, and our goal in this project is to decrease the volume of incoming paper, not increase it. In the final analysis, OCR may not be worth the investment. And in this context, we understand that the recognition of hand-lettered and hand-written data, known as Intelligent Character Recognition (ICR) is often too expensive and often insufficiently accurate to warrant its use
- We seek the vendor's suggestions for efficient, accurate indexing
- Use image annotations to record user notes associated with a document
- Use a fax server to receive, index, and route faxes, avoiding the current process of receiving, printing, and scanning faxes
- Print a watermark (or other mechanism) on all images so ETF can tell an original from a printed archive copy (and prevent re-scanning of previously scanned documents).

- Correspondence Generation:
  - Automatically capture all system-generated correspondence (including system generated correspondence that also allows an ETF employee to add sections/comments) into the document repository. Format must be unchangeable (TIF or PDF) so that it represents the material sent to the member. The system should be able to manage responses through the workflow management system, tracking the sending and receipt of correspondence, and closing an activity when the appropriate letter is scanned to member record
  - Automate the generation, population (with member data) and transmission (print and mail, email or email notification) of every piece of correspondence you can. Much of the direction required for pattern letters should be eliminated through use of a keyed-in selection of a letter and a member identifier – or better, by having a transaction recognize the need for a letter and generating same
  - Provide for semi-automated generation of more sophisticated correspondence (e.g., in a template in which there are at least ten stock paragraphs, include one paragraph from among the first three, the fourth and fifth and one from among the last five), still auto-populating fields where appropriate, but permitting selection for ex- or inclusion-specific paragraphs
  - In those rare cases where unique correspondence must be generated, the system will provide managed pop-up of a correspondence creation program (e.g., MS Word), use of templates to ensure proper style and logos, and auto-capture to the repository of the transmitted document (regardless of whether it is sent out electronically or using USPS).
  - Provide business staff the capabilities and responsibility for creation, modification, and upkeep of correspondence, with IT assistance where required, in order to give the most flexibility and expediency possible to the business units.

C.2.2.2 DELIVER WORK VIA EMBEDDED (NOT BOLTED-ON) WORKFLOW

Currently, ETF managers assign tasks to staff manually. Assigning and prioritizing those tasks using an automated workflow system would allow ETF to operate more efficiently, by re-routing work to address backlogs or peak times or vacations/sick days and by ensuring that all requests are processed in the order in which they were received (while still paying attention to mandatory filing periods), and would provide for automated delivery of the incoming work scanned under the previous

principle. Received documents and forms should be scanned or entered into the workflow system and processed based on the associations in the system for particular images (i.e., form type). ETF should define the routes along which work passes and make some routing conditional on certain criteria, such as the need for a certain level of approval or random audit samplings for a quality assurance review. In addition, staff should be able to query the workflow system to determine the status and location of particular types of work. Management could use system-generated data to analyze processing bottlenecks and reassign resources accordingly, and to analyze employee performance.

A sometimes overlooked, but extremely important aspect of electronic workflow is that it must be tightly integrated into the benefits administration system. A user should not have to switch his or her focus (physical, on-screen, or mental) from one screen or window to another during processing. Instead, work should be delivered for processing, selected, and executed in a seamless set of operations, all in a single (or logical succession of) screen(s). And when a user has completed his or her processing of an item, they should not be required to manually "dispatch" that work item to another user (unless they are requesting some out of the ordinary operation such as a consult or review of their work); the embedded workflow system should recognize that the user's work is complete and automatically take care of any necessary "dispatching" (e.g. generate appropriate correspondence).

The following are examples of the concept's future system application:

- Work presentation via (role- or individual-based) queues
- Automatic generation of correspondence to members indicating receipt of a document or request
- Automatic assignment of work based on document type
- Automatic assignment of work to individual employees, allowing for selection (prioritized or first in/first out) from work queues, if applicable
- Queue management through aging of work items, increasing priority of work items, etc.
- Call center (and individual, member-centric interactive) ability to initiate and check on status of work
- Automatic suspension of work items when additional information is needed. Upon receipt of that information, the system can automatically match that information with the appropriate suspended work item and return the work item to active processing queue
- Automatic tickler (reminder) files to standardize follow-up procedures
- Automatic management reporting on individual employee and work unit efficiency, cycle times, queue lengths, throughput, rework, etc.
- Business process reporting to identify bottlenecks or other processing trends – allowing for process redesign (permanent fix) or resource reassignment (temporary fix) to address the bottleneck
- The ability to simulate, redesign, test, and redeploy work processes.

C.2.2.3 IMPLEMENT METRICS (MANAGEMENT BY OBJECTIVE)

Management by Objective (MBO) is a style of management that has waxed and waned in popularity as a means of setting finite performance objectives for organizations and individuals. One aspect of the work that is done in a retirement agency lends itself to this approach, as in, "Given your current staff, the Retirement Unit should process 41 retirements a month and none should be processed in

more than ten days (from receipt of application to the entry of the pensioner on the payroll)." The goals for operational units are sometimes very different from those of the support functions (Web support, IT, etc.).

Nonetheless, during the past several years, the use of metrics and quantifiable goals within public retirement funds has increased. One of the key aspects of the successful implementations is that the entire organization bought into the goals. If one business unit was having difficulty meeting its timeframes for one reporting period, members of other organizations pitched in to help get the work done, knowing that they would be similarly assisted should they be in trouble later. Metric also helps facilitate equitable sharing of workload by identifying which business units may have available time to assist. Obviously, if a unit is a chronic offender, one cannot expect help every month; other steps such as increased staff, improved training, a change in management or process design or even occasionally a change in the goals would be appropriate.

Implementation of workflow will allow ETF the opportunity to "instrument" its processes, measuring just about any of its processes at various levels of granularity. But the "instrumentation" does not just happen; an agency must determine at design time what workflow steps will be measured – and how those measurements will be applied.

Ultimately, staff members should be able to run reports against their goals at any time and for any time period to see how they are doing relative to stated goals and benchmarks. Furthermore, managers and executives should be able to run reports that predict future changes in workload based upon trends and inputs, allowing the Department to anticipate and prepare accordingly.

C.2.2.4 REUSE PROGRAM MODULES (SINGLE ENGINE)

This is one principle that should be obvious, but is sometimes missed during actual implementation. A member who goes online to get a benefit estimate should receive exactly the same answer he or she would receive were they to go to their HR representative or to ETF for a face-to-face meeting, or were they to submit their request by email or letter. And while benefit estimating is the most obvious example, the principle holds whenever implementing a service that might be accessed from more than a single point, e.g., a web interface, a remote agent (employer HR), or an ETF desktop.

C.2.2.5 FULLY PARAMETERIZE THE SOLUTION (POSSIBLY THROUGH USE OF A RULES ENGINE)

Over the past five to ten years, vendor solutions have become increasingly parameterized and table driven, extracting all constants from the code and placing them in tables so new releases of the system need not be coded, tested, and rolled out in response to legislative changes, changes in tax rates and actuarial tables, etc. In fact, the most recent advance in this area has been the incorporation of a rules engine into the solution so that an agency's complete set of business rules can be extracted from the system and managed through editing of English-like language statements of the business rules under which the agency operates. Some workflow vendors have gone so far as to extract all business rules from their workflow implementation (where many of them traditionally reside, e.g., conditional routing, rate applications, etc.) and provide a separate business rule repository within which all rules can be managed. As the public focus on pension systems increases and legislative changes come more and more rapidly as a result, addition of new tiers with more restricted benefits by merely editing a natural language business rule is increasingly attractive.

C.2.2.6 STRIVE FOR STRAIGHT-THROUGH PROCESSING (STP)

The concept of Straight-Through Processing (STP) as a tenet of business process re-engineering gained significant popularity more than a decade ago when banks and brokerage houses were mandated to decrease the amount of time that they took to complete financial transactions from ten days to five, and later to three. Recognizing that handoffs (from one organizational unit to another) slowed processing significantly, the financial institutions went to great lengths to organize their processes so that there were few, if any, handoffs. For example, if an examiner is performing some customer-oriented process and finds that an address needs to be changed, she or he would make the appropriate change, rather than initiating a separate request from another processor.

This concept applies to the complete design of ETF's new system in ways that have already been discussed. For example, many customer requests will be handled through use of the web, but when requests come into the call center, many of them may be more readily handled immediately by an agent rather than through the initiation of a work process that sends the customer request to another examiner for processing. Candidate processes for this approach are address changes, requests for forms etc. But the other consideration must be setting up processing of more complex requests to minimize handoffs, multiple reviews of calculations, and multiple approvals of transactions.

Many of the decisions surrounding the potential process changes resulting from the above consideration cannot be made without a better understanding of the configuration, self-service capabilities and related process support structure of the proposed solution; the concept is one that may conflict with currently established areas of responsibility.

C.2.2.7 OPTIMIZE AUDITING

Typical behavior of an agency with such an emphasis includes:

- An execute, review, and approve policy on many of the agency's transactions
- The requirement that a very high number of documents and requests submitted from outside the agency must be notarized
- The insistence on documentary evidence of much of their members' personal data, e.g., notarized birth, marriage, and death certificates

Electronic workflow permits the design of work routes that support conditional routing. This concept can be used to set, for example, a default random audit percentage of 10% of all work in the determination of the cost of an arrears estimate, but ensure that Peter, who has proven very careless in his work over the past two months, has 100% of his work checked by a supervisor. In addition, if a retiring member has worked for their entire career for an employer whose reporting has always been exemplary, the member's retirement might be processed entirely automatically (with a 5% audit rate), while another member who has a more checkered work history would also be processed automatically, but the calculation would be audited at an 80% rate.

Similar principles could be applied to the verification of member personal and demographic data, trusting the employer who will be providing much of the data through an enhanced employer reporting system to have performed the validity checking of the supplied birth date, etc.

C.2.2.8 ENSURE APPLICATION OF ENHANCED SYSTEM SECURITY PRINCIPLES

It is important that the new system contain robust security safeguards for all transactions. The system must comply with state and federal laws regulating confidentiality of personal information. Any outward-facing components of the system that are used by the public must contain adequate

protections against misuse by unauthorized entities, identity theft, and allow members to use a non-SSN identifier.

Paying attention to the most stringent security is one principle that applies to actions taken by ETF and the vendor from the start of a BAS implementation project – as well as being embedded within any eventual solution.

The following are examples of the concept's future system application:

- The solution should contain security tools that monitor compliance with ETF's security policies and procedures. The tools should provide security reporting, monitoring, automated warnings via cell phones/texting or other devices to the organization's IT/security staff and give the organization the ability to manage their security as tightly as they wish
- The solution should provide auto-encryption of emails going outside the organization to ensure compliance with HIPAA regulations
- Staff hiring and orientation, solution rollout, and any subsequent training should emphasize education of staff on the importance of security
- Members must be educated on the importance of not sending personal information to the organization via unencrypted email
- The ETF website or portal should use secure exchange of information and provide a method by which members (even those who have no understanding of encryption) can exchange personal information securely.

C.2.2.9 ENSURE FLEXIBILITY AND THOROUGHNESS IN CUSTOMER COMMUNICATIONS

This principle has broad application, but it starts with the concept of a customer profile. This concept calls for a strong focus on optimized customer communications, in which the active member, the pensioner, or the employer (for example) defines his or her contact and communications profile. This profile would include preferred address, email, telephone, text, and other designations. It will also permit the customer to create a digital signature, thereby potentially precluding the need to send in signed documents prior to submitting them. As the methods of, and devices supporting, electronic communication proliferate, providing support for the imaginative use of social networking capabilities for interaction, the choice of paper-based mail, faxing, email, etc., as the primary vehicle, and providing support for multiple mobile devices (smart phones, tablet PCs, etc.) becomes increasingly important.

The customer communications profile exists as part of a Customer Relationship Management (CRM)-like system, the potential foundation for a customer's interaction with ETF (both their direct interaction and ETF staff interaction on the customer's behalf). A CRM system would enable ETF to effectively use its knowledge of a customer to maximize each interaction with that individual and thus to provide the optimal possible service.

The following are examples of the concept's future system application:

- The system would support the use of a login ID and PIN/password as well as multiple alternate authentication capabilities (including reminder questions, challenges, etc.) and the ability for a member to change and/or recover his or her PIN/password at will
- The first time a customer creates an account and logs into the system, they would be asked to verify, modify and update all personal demographic information including selecting their primary means of contact (e.g. email, USPS, other)

- The system would support multiple postal addresses for members, each with an effective date (or alternatively with one address set as "active") – to accommodate multiple locations occurring at various times – or multiple locations and means of delivery at the same time but for different document types. The system will be able to retain a date and automatically use the proper address based on the effective dates
- The system will support multiple telephone numbers for the customer with an indication as to the preferred number, or different numbers at different times of the day
- The system would support multiple email, text (and Interactive Messaging – IM) addresses with an indication as to the preferred address/means of contact
- The system would support the customer' ability to define their preferred means of communication while emphasizing ETF's strong preference for paperless communication if possible. In fact, the preferred/default means of communication will be an email informing the customer of the existence of a new communication and pointing them to a secure web address to which the customer will login (thus enabling ETF to ensure that the message was received – if necessary) in order to view the document
- The system, by its use of user ID's and passwords, coupled with required usage statements would provide support for the customer's use of a digital signature, a feature which, because of its nature, should take the place of the need for notarization of ink signatures.

The flexibility in communications applies as well to education of all members of the ETF community including staff, members, employers and third party administrators. As the staff and customer population becomes increasingly one that has grown up with video- and web-based interactive education, ETF expects acceptance of – and increased expectations and appetites for – a broader range of vehicles by which such education can be effectively delivered. These include:

- Web / automated training videos and other tools to cross-train existing staff and train new staff on the organization's processes and procedures
- Support for "face-to-face" video and/or audio "chat" capabilities for real-time customer service and/or troubleshooting/customer informational sessions
- Customized advice for members on the web site. As the breadth of material increases, the advice could be set-up in informational "paths."

One final practical point that must be made with respect to all communications and training material is the requirement of the vendor that all material presented to ETF must be configured and customized to meet ETF's needs and match ETF's installation; it may not be reconstituted material from a prior installation.

C.2.2.10 MAXIMIZE OPPORTUNITIES FOR CUSTOMER SELF-SERVICE

This concept calls for the extensive support of customer self-service, primarily through a web portal. Such a portal would serve as a starting point for customers when interacting with ETF, permitting them to obtain and/or provide general and personalized information and proactively execute many business process tasks, such as submitting forms, changing beneficiaries, employer reporting, etc.

Customer self-service would be managed as part of a Customer Relationship Management (CRM)-like system, the potential foundation for a customer's interaction with ETF (both their direct interaction and ETF staff interaction on the customer's behalf). A CRM system would enable ETF to effectively use its knowledge of a customer to maximize each interaction with that individual and thus

to provide the optimal possible service. The following are examples of the concept's future system application:

- Customer Information Maintenance. Customers should be able to log in through the web portal, access their account information and update appropriate information without delay (and include an audit trail/history of such interactions). This self-service capability would allow ETF staff to address other work as necessary. Through the home page (as well as through their employer interface) the member / user would be able to accomplish a variety of tasks, depending upon their security and or the availability of the service:
  - Demographic changes
  - Forms request and forms fill in
  - Live chat requests
  - Streaming videos for training and information sharing
  - Secure email generation
  - Benefit estimates/projections
  - Request account balance statements
  - Review all program related information – what is or is not active or in effect, account balances
  - Request earning statements (in support of home loan verifications and like requests)
  - Schedule appointments, sign up for seminars, find links to retirement-related web sites
  - Apply for refunds
  - Initiate a service purchase
  - Request and securely receive images
  - Change ACH, Electronic Funds Transfer or wire information if he or she changes their financial institution
  - Update federal tax withholding and be able to have state withholding for states other than Wisconsin
  - Apply and manage the purchase of service; check the status of payment against previously purchased service
  - Obtain a duplicate 1099R, etc.
  - Apply for retirement
  - Enroll in an insurance program
  - Request a hearing
  - Review and verify information
  - Review status of pending requests
  - Save partial forms before finalizing so information is not lost
  - Defined time outs and notification to stop session time out
  - Spell (and optional grammar) check
- Online form submission. Members should be able to submit forms (electronically, via scanning or on-line via a fillable form) through the portal. This self-service capability would also allow staff to address other work as necessary.

- Accessing member information. ETF may make specific information accessible to numerous authorized parties. For example, select parties associated with an administrative hearing would be able to access hearing transcripts by accessing the web portal.
- Access to self-service activities. Such access would be gained through a personalized customer "home page:"
  - Access would require a personalized member ID and Password that can be reset by the system administrator or the user
  - The home page could be customized by the user and at a minimum would contain alerts and notices pushed by the retirement system
- Tools. Tools available to the user/retirement system would include electronic signatures or other security devices
- Shared information. With some restrictions, any information that would be visible through the Call Center agent's screen when the customer phone call was presented for service would also be available for viewing through the self-service web page by the member
- Similarly, any appropriate activities that the Call Center agent could initiate could also be initiated by the customer through the self-service web page
- Information availability. For benefit recipients, a breakdown of earnings statement and other documents containing relevant account information could be printed or downloaded for use by the benefit recipients in dealing with various financial activities (e.g. mortgage applications). They would also be able to choose to provide this information electronically (e.g. via email or FAX) to a third party such as a mortgage company.

C.2.2.11 IMPLEMENT PROACTIVE MEMBER SERVICES (LIFE-EVENT PLANNING)

This principle has a wide variation in level of sophistication of implementation. The system could send members advance notification of upcoming events based on the member profile (e.g., upon imminent vesting, the system would send a congratulatory communication explaining the significance and responsibilities [e.g., keeping contact information up to date] of having vested in the plan). The occasion of a birthday within five years of retirement would send an alert of a planning session to the member of near-term retirement planning sessions). The system might send offers of financial planning services at the time of vesting – or even before.

Currently, ETF does not offer members a free financial planning service. Consequently, any member wishing to plan for his or her financial future must establish an account with a professional (CPA, CFP, etc.) – or take the potentially less expensive approach of purchasing a software product for their retirement planning efforts. ETF may consider providing a retirement planning utility for members to access a full picture of their retirement plan or alternatively, provide data in a format the member may download to use within their own retirement planning software product. The following scenario outlines a potential retirement planning interface in the future system application:

- Member will enter both their current salary and that of their spouse, also selecting percentages by which they expect the salary to increase each year
- Member will enter data describing their current lifestyle, including whether they own a home or rent, the size of their mortgage and their payments, the amount of credit card (or other) debt they carry

- Member will enter any savings or 401k portfolio amounts and also select an amount by which they expect the portfolio to grow each year. (The ETF package could potentially advise the member's diversification strategy)
- Member will enter any expected life events such as college or wedding expenses for their children, the frequency of their car purchases, etc.
- Member will enter their expected retirement date and provide a profile of their expected life style and expenses in retirement
- With the member's permission, the planner interface will obtain the member's expected Social Security benefit from the Social Security Administration (SSA) records. Otherwise the member will have to enter the numbers from the update made available to them on-line by the SSA
- The system will develop a complete financial view for the member showing their expected income (including the Defined Benefit due them from ETF) and expenses as well as the projected change in net worth
- The system will also offer advice on aspects of living in retirement such as Long Term Care insurance
- Finally, the system will provide the member with customized advice (as appropriate) on disability coverage, disability retirement, etc., available through ETF.

C.2.2.12 ESTABLISH A SINGLE VIEW OF THE MEMBER

This concept seeks to accomplish precisely what its name implies, to enable access to all of an active member or pensioner's (hereafter, member) information from a single launching point (a.k.a. "Member-centric"). Using this single view, member-specific correspondence history, encounter notes and all other information will be at the fingertips of ETF staff members. (In fact, while "member-centric" is the term we use in this discussion, the points made and services provided also pertain at some level to all ETF customers.)

A single view of the member will exist as part of a Customer Relationship Management (CRM)-like system, the foundation for a member's interaction with ETF (both their direct interaction and ETF staff interaction on the member's behalf). A CRM-focused system supporting the appropriate levels of security related to visibility of member data will enable ETF to effectively use its knowledge of a member to maximize each interaction with that individual and thus to provide the optimal possible service.

The following are examples of the concept's future system application:

- All member-facing ETF divisions could have access to the security controlled single view in managing their interactions with the members. In addition, those business partners with authorized access to member information such as third party insurers, employers, etc., could also utilize aspects of the single view as controlled by security.
- The member management system will provide / track ALL multi-channel member interactions, including (in decreasing volume) mail, telephone, fax, and in-person meetings and (increasingly) email (including notification of a URL to visit), web, and chat or IM
- The system could manage all member interactions whether initiated by employers, by service suppliers such as 457 Plan Administrators, by ETF staff members or call center agents, or by the member or pensioner him- or herself. Member self-service is possibly the most important feature supported by a fully functional benefits administration system, but ETF will want to know of all member-related transactions, including those that are member-initiated and system-fulfilled

- The central, focused view of the member could be integrated with all member and pensioner data sources containing member data (e.g., the BAS solution, the imaged member records). This interaction can be by batch interface to agencies such as the Wisconsin Department of Transportation for the checking of address changes, or real-time in the case of the BAS
- Because all member-specific calculations could be accomplished in real time, there can also be the ability for a member to obtain his or her annual statement on-line – and there might no longer exist a need for the creation of a printed annual statement. The member could be able to request an online "Single View of the Member" information report at any time. Not only could the report contain all the information currently available in the annual statement, it should also include all insurance related information (including both member and employer contributions) be capable of pointing out holes (if any) in the member's service record, estimate costs of purchase of service to fill those holes (if possible under the law) , and, as the member nears retirement, to offer the benefit available to the member should he or she choose one of the several alternate retirement options. A document containing relevant account information could be printed or downloaded for use by the member in dealing with various financial activities (e.g. Mortgage applications)

C.2.2.13 ENABLE MEMBER-CENTRIC PROCESS IMPROVEMENT

Automating member processes minimizes ETF's costs, but automation can be impersonal and constantly changing processes makes the automation hard to manage. Member-centric process improvement, integrated with the underlying workflow engine, will provide the ability to measure and analyze the effectiveness of member interactions as well as the ability to quickly change processes.

Member-centric process improvement would exist as part of a Customer Relationship Management (CRM)-like system, the potential foundation for a member's interaction with ETF (both their direct interaction and ETF staff interaction on the member's behalf). A CRM-like system would enable ETF to effectively use its knowledge of a member to maximize each interaction with that individual and thus to provide the optimal possible service.

The following are examples of the concept's future system application:

- The integrated system will make it easy to automate, manage, analyze, and evolve member processes such as new account setup, member problem escalation, communications profile definition, etc.
- The system will provide a single, familiar, easy-to-use interface so that the member, employer representatives, ETF call center agents and other customer-facing personnel will be able to execute key business processes – and assist one another in that process as appropriate
- Many of the agency processes, particularly complicated buy-backs or requests for service retirement, are highly complex, have disproportionate resource requirements with arcane and/or complex business rules, and require personal handling. Reconfiguration of such processes often requires cross-functional coordination and analysis, coupled with the scalability and flexibility to automate a high-volume of transactions. This is not provided by a simple rules engine, but by integration of CRM with appropriate workflow / BPM (Business Process Management) tools and good implementation thereof
- As much as possible, the processes will be implemented through configuration rather than through customized code so that change is not dependent on the availability of scarce IT resources, nor does the configuration adversely impact software upgrades. Business Rules Management will allow ETF to manage business rules, including versioning of rules as a result of

changes in legislation, policy, etc. A possible technology implementation for business rules is a business rule engine.

- As the business processes change due to changes in statute, or are made more efficient through analysis, business analysts (albeit specially trained and skilled) can suggest, define, configure, test and roll out changes

C.2.2.14 (TO THE EXTENT APPROPRIATE) INVOLVE EMPLOYERS AND TPAS AS PARTNERS

To fully implement many of the improvements suggested herein, ETF will need to change the manner in which it interacts and collaborates with employers. In addition, ETF can use these changes to build a more collaborative relationship with its employers. More specifically, employers could assume greater responsibility for enrolling their new hires in both the retirement system and ETF-provided insurance and other benefit programs as well as providing information to new and existing members about various stages of the retirement process. The following are examples of how appropriate employer support and information sharing could be incorporated into the future system:

- Employers would have access to a portal providing all information they would need to assist members in filing appropriate paperwork or to answer member questions. Employers could also use this portal to submit any necessary changes to member demographic data or member status including flexibility to: 1) modify on-line, real-time, 2) submit a preformatted file for mass change capability (e.g. a formatted CSV file) or 3) via nightly – or minimally pay period – batch/mass updates.
- If they are to provide basic WRS information to their employees, employers will need to have access to certain data for their employees. However, in this instance, access will have to be designed and implemented in a way to prevent possible abuse of privacy

C.2.2.15 SHIFT RESPONSIBILITY FOR DATA ENTRY (TO MEMBERS, TO EMPLOYERS, TO THIRD PARTIES)

Currently, ETF collects salary, hours worked, member contributions, and payment information from employers on an annual basis. In a future system, ETF could use employer reporting to shift a significant portion of member data entry to employers, who already have most, if not all, of the information already at their disposal. Improving the quality of data collected during the employer reporting process would eliminate the need for filling gaps in member data during other processes, including arrears processing and retirement processing, thus reducing overall processing time and improving customer service. In addition, using the employer reporting process to collect more comprehensive member data would reduce the number of calculation errors resulting from incomplete data. As a potential service to employers, ETF could also consider integrating the employer billing process into the employer reporting process, allowing employers to submit payments on a more frequent basis and allowing them to submit everything (i.e. member data, member contributions, employer contributions) to ETF through one process.

The following are examples of the concept's future system application:

- Since ETF is responsible for enforcement of the rules and statutes governing member eligibility, it is considering implementing a system in which employers would report only the hours that an employee worked in a specific period (as well as the type of work performed, e.g., teaching, stipend coaching) and letting the system determine what the contribution should actually be

- The employer interface should validate data as it is submitted, allowing employers to correct any data errors in real time – improving the employers' experience and reinforcing that employers are the owners of their data
- Employers should be able to access previously submitted contribution reports. They could use these records to verify their own records and also to alert ETF to any previously unnoticed errors
- Employer reports might include a breakdown of all member salary information (e.g., overtime, longevity bonuses, merit pay, and retroactive payments with dates) and insurance premiums being paid (i.e., all programs of assistance offered by ETF. Classifying member information in this way would simplify member processing, particularly retirement processing, by reducing the need for examiners to research salary information in order to determine which portion of a member's salary can be used to calculate things such as final average salary
- Employer reports could include job title information for each position for which an employee is compensated. This information could be used to determine plan eligibility and, if properly verified, could potentially be used as the certification required for special plans
- The future system could be configured to allow employers to report based on their payroll cycle (i.e., weekly, bi-weekly, monthly, etc.), thus reducing the need for employers to duplicate payroll processing and data-entry as part of the employer reporting process
- ETF could make employers the owners of member demographic data by allowing them to post updated member data (e.g. contact address, name) during the employer reporting process. Employers typically have the most up-to-date information for each of their employees, so providing them with a mechanism to include this information in the reporting process would ensure that ETF received these data updates as they were made. This would take ETF out of the address update business for active members
- Allowing employers to submit their employer contributions during the employer reporting process, eliminating the need for separate employer billing
- The reporting interface could be designed to provide employers with immediate notification on payroll deductions, including arrears and loan payments (should ETF decide to implement loans), to streamline the process for employers and reduce the number of refunds associated with deductions that were not stopped at the appropriate time
- Member registration could also be incorporated into the employer reporting process. For example, the employer interface could allow employers to designate newly-enrolled members – and when that designation is selected, allow employers to enter any necessary registration information. This could trigger an Enrollment Packet to the member, including designation of beneficiary forms, etc.
- Employers could also enter termination information for any members leaving their employment. This would ensure that ETF had up-to-date membership information, thus simplifying many processes, including the termination due to inactivity process.

A corollary to the outsourcing of data entry is an emphasis on the collection of data (and the application of real time data edits to ensure collection of **valid** data) as it is available. Ways that this corollary might be applied in a new system include:

- Continued education of members that they should remember ETF (and act accordingly by updating the agency's records) when filing change of address forms, changing their bank accounts, changing their email addresses, etc.

- Ensuring as part of the implementation of a system that employer personnel systems are set up with triggers so that changes to those Financial Management and Human Resources Information Systems automatically cause a feed to the ETF benefits administration system
- Ensuring that any data entered into the system, whether externally or from within ETF (in response to a member- or employer-initiated request) has appropriate validity checks and database edits applied. This applies particularly to employer-submitted service, earnings, and contribution history where a spike in earnings may be the result of a retroactive adjustment, but may also be the result of a data entry error – and validating it on entry will make subsequent benefit estimates and retirement processing more rapid and accurate

A final point to be made in this discussion is that all contribution information received from employers should contain notations as to the source of the particular payment. For example, while a retroactive payment adjustment is paid when the employment contract is finalized and the calculation completed, the actual adjustment may have been applicable to (and spread over) multiple prior months. Likewise, a coaching stipend may be payable only at the end of the season but applicable for several months during the season.

C.2.2.16 IMPLEMENT ENHANCED MANAGEMENT REPORTING

Currently, various ETF units may collect data on processing times – and the systems collect transaction codes (TC) on multiple process steps. In the future system, ETF should expand this data collection and use the results to present management with visual reports/dashboards that can help and guide management decisions and quality assurance strategies. Data collection can be used to foster a culture of continuous improvement. Management could use measurements of transaction cycle times, units of work, user output, items or time spent on re-work, transaction backlogs, and customer satisfaction to target areas for improvement, or could collect additional information on areas that appear, based on the data, to be working well. Staff could also use measurements to monitor how their individual or team data compares to performance standards, their peer average, or to obfuscated data of top performers.

In addition, these data can be used to build a quality assurance strategy. QA is a critical ETF responsibility, particularly during implementation of the new system, and instituting a QA strategy will help ETF continuously improve its customer service provision.

The following are examples of the concept's future system application:

- The system should support a variety of electronic management reports that highlight those areas that management uses to run the agency (e.g., processing of membership or retirement applications, efficiency of employer reporting). Just as importantly, the system should support expanded use of electronic management reports that highlight areas for which accurate data was previously unavailable. These reports could present information at a high level but support drill-down capability to permit analysis of particular problem areas or other areas of interest. For example, one of these reports could be a dashboard-format report that provides easily accessible summaries of the many topics and sub-systems that make up the Retirement System as a whole
- The new system could include a mechanism to allow members to complete automated surveys online, after they have accessed services through the member portal. The results of these surveys, and any included member comments could be compiled in reports that management could use in conjunction with the system-generated management reports
- ETF currently gathers statistics annually from multiple sources and publishes a document that compares customer ratings and performance measures for ETF Administered services and

benefit programs including health plans and health care providers. These metrics should be available to members electronically, so a member may filter plan choices to those only available to them and view relevant comparisons online as part of the enrollment process or at any time during the benefit year..

C.2.2.17 APPROPRIATELY EXPLOIT EXISTING AND EMERGING ENABLING TECHNOLOGIES

Several of the sections above have discussed specific implementation of enabling technologies[4] such as imaging, workflow, the world-wide web, etc. However, there remains a general principle that has not yet been articulated; any solution that a public retirement system installs should strive to exploit existing enabling technologies to the maximum extent possible.

There are numerous enabling technologies that have come into existence in the past several decades. Some of them have already achieved broad acceptance in the marketplace, but many have not yet been recognized for the power that they can bring to the solution or to enabling of the interaction between the member, the user, and the BAS itself. There are two other classes of enabling technologies:

- Those that may have achieved broad acceptance in everyday use but have not yet been imaginatively integrated into BAS (social networks – how can Twitter best be leveraged to assist in benefits administration?)
- Those that have not yet been invented or have not yet achieved sufficient penetration of our consciousness to warrant discussion here. There are certainly more technologies than those listed here.

Below are short discussions of those technologies of note that have already found a place in some benefits administration systems – and will become commonplace in the years to come:

- **Relational Data Base Management Systems (RDBMS)** – Of the many different types of database systems in existence, e.g., network, hierarchical, the RDBMS is certainly the most powerful and capable of the lot, particularly in supporting the concept of normalization of data (i.e., ensuring that any data element appears only once in a database rather than in multiple locations). In fact, nearly all Commercial, Off-The-Shelf (COTS) solutions available today are based on normalized RDBMS – but the technology nonetheless bears mentioning
- **Data Warehouses** – This technology supports the storage of "snapshots" of the system database. Typically, the database contains transactional information; the user can determine the current address of a member, or the number of active members employed at Employer C, or other such finite data. However, determining the variation in number of members at Employer C over the past three years requires availability of information about how the data varied over time, a series of "snapshots." Transactional databases do not typically contain such information, but through the use of a concept known as a data warehouse, the time-dependent variations can be stored separately from the production database and used to develop knowledge about variations over time, metrics about the system. The section above on metrics, C.2.2.13 Enable Member-Centric Process Improvement, might best be implemented using a data warehouse approach

[4] An enabling technology is one that is sufficiently broad in application to make a potentially significant impact on the efficiency of users and the enablement of members. For example, a typewriter is technology, but we would no longer classify it as enabling technology since it has been surpassed by computer-based word processing capabilities; and while word-processing is enabling technology, it has become sufficiently commonplace to no longer warrant a place in the broad discussion of enabling technologies discussed here.

- **1-D and 2-D Bar[5] Codes** – Bar codes are becoming common; they appear on product packaging, airplane boarding passes, etc., so that the use of scanners integrated with computers and capable of reading the bar codes can decrease the amount of human data input (and corresponding errors), and thus increase the reliability of transactions. A specific use in benefits administration is the application of bar codes to all forms and turn-around documents in use at the retirement system. When received from a member, the forms with bar codes can be scanned, indexed and appropriately directed without human intervention because the forms carry an embedded message about the information they contain
- **Recording and Retention of Member Telephone Calls** – One of the primary issues in a member call center is that some members can be found calling several times in search of the answer they want, sometimes called "shopping for answers." When there is a record of prior calls, such behavior can be found out and responded to appropriately. Another application would be that since call center administrators cannot listen in on all the calls handled by their subordinates to know who is doing an effective job and who needs a little coaching, calls can be reviewed offline. Both of these issues can be resolved through the recording of all calls from outside of the agency, indexing them by member name, date, time, and subject, and storing them for possible recall and reuse, "But Mr. Jones, we told you yesterday that the answer was, 'No'"
- **Remote Workstation Support** – Tools with features similar to *Bomgar Jump Client* or *Remote Control* permit centrally located support specialists and call center staff to remotely take over a user's workstation and observe just what steps a user is taking to perform an operation, etc. While this is not a significant enabler in a small, single-location agency, one with distributed member service can benefit from possible consolidation of their IT and support staff. And agency support staff can remotely assist payroll clerks and other employer staff in working through issues they might have with payroll processing, etc.
- **Use of PDAs, Smartphone, and Tablet Devices**– This is one of those technologies that is not only enabling, it is still emerging. While there are as yet no "retirement apps" available for download from your on-line phone store, there is good reason to believe that within ten years members may be able to conduct nearly all of their interactive business with the retirement agency through the use of an "app" on their smartphone. It will be up to the retirement agency to specify the amount of interaction they want to permit by this vehicle, but today users can use their phones to interact with their bank and brokerage house, pay for a cup of coffee, and find the nutritional characteristics of the meal they are about to order. It is not far-fetched to think that users will interact in a similar way with their retirement system a few years from now.

C.2.2.18 (TO THE EXTENT POSSIBLE) IMPLEMENT INDUSTRY STANDARD SOFTWARE AND SOFTWARE SOLUTIONS

ETF believes that a major principle of successful large solution implementations is the use of industry standard software and software solutions where available. To that end ETF requires the use of standard software and software solutions that are widely available and widely supported in the marketplace. Use of "shareware" or custom software solutions must be clearly identified and such use justified in the context of being required so that the BAS will meet ETF's overall business

[5] 1-D bar codes are typically a set of parallel lines of varying thickness and spacing. 2-D bar codes are the glyphs that one sees in boarding passes, FedEx labels, etc. The 2-D codes can encode significant amount of information and with their built in redundancy are far more reliable than the older 1-D codes.

requirements. ETF seeks to provide easy to support (including those for which trained support resources are available) software solutions that are also easy to train users and technical staff.

C.2.2.19 MINIMIZE MODIFICATIONS TO SOFTWARE CODE (ETF MAY MODIFY THEIR PROCESSES IN LIEU OF THE VENDOR CHANGING SOFTWARE CODE)

While ETF acknowledges that some software customization and development will be necessary to meet all of ETF's business requirements, it is assumed that any requirement that can be met via configuration (as opposed to customized modification of the software product) will be achieved in such fashion. ETF's governance boards as well as the project review and approval process will be utilized in response to a vendor's suggestion of the need for software customizations.

C.2.2.20 CLASSIFY AND ORGANIZE DATA WITH APPROPRIATE DATA STEWARDS TO ENSURE A "SINGLE VERSION OF THE TRUTH"

ETF is in the midst of an active Data Integrity (DI) project for which the goal is the identification, classification, and cleansing of all department data. A major component of the process is the identification of the most reliably accurate ("single version of the truth") data available in the multiple legacy systems. ETF also has a Data Stewards Council (DSC) that is in place to aid all phases of the DI project. All data will need to be mapped to the BAS data model. That data will ultimately be transformed and migrated into the BAS solution.

C.2.2.21 ACTIVELY INVOLVE ETF STAFF IN ALL ASPECTS OF THE BAS PROJECT, APPLICATION DESIGN AND IMPLEMENTATION

The success of the BAS project (not just vendor and solution selection and solution implementation, but also subsequent enhancement and maintenance) is the major goal integral to the entire BAS project. To that end, part of ETF's Change Management Methodology, philosophy, and plan for its Transformation Integration and Modernization (TIM) suite of projects is the involvement of as many of ETF staff resources as possible in as much of the BAS design, testing, and implementation. ETF anticipates managing its staff and related advisory groups in a manner that will not put the BAS project timeline at risk and will limit any adverse effects on its vendor partner(s) but will actively involve appropriate personnel in all aspects of the project.

C.2.3 FACILITIES TO BE PROVIDED BY ETF

ETF will provide limited office space and desks with phones for vendor staff members. Vendors should state in their proposals their requirements in this regard. Access to ETF's current processing environment and copying facilities will also be provided. Vendors should state in their proposals their requirements for number of desks/phones, as well as meeting, conference room, and training facilities. In addition to the ETF Project Director, ETF will provide ready access to subject matter experts as necessary.

The decision as to vendors providing their own workstations will be a function of the number of vendor staff on site and will be finalized in the contract negotiation process. ETF will provide appropriate connectivity to its network. Vendors must agree to abide by all ETF security, confidentially, and other policies and procedures. Please refer to Appendices E.14, E.15, and E.16 for copies of ETF's security policy. Furthermore, should it be determined that any fault in the network (virus, worm, etc.) can be traced to an action taken (or not taken) by the vendor, the vendor will be fully responsible for all actions taken and all expenses incurred to correct the fault.

ETF has training rooms available at two of its office locations. Both training rooms are equipped with a trainer workstation with projection capability. The Badger Road training room has an overhead projector and 12 workstation/monitor combinations. The Rimrock Road location has a Smartboard and 24 workstation/monitor combinations.

C.3 PROJECT TIMETABLE – MAJOR DELIVERABLES

Vendors must provide a detailed listing of deliverables that will be produced for the project with estimated required completion dates. This section of the RFP consists of a list of the minimum set of high-level deliverables required for the project. The due dates for the minimum set of deliverables fall into two categories: those with delivery dates contingent on the contract start date or the start date of the phase or work unit and those with delivery dates dependent on the proposed structure of the project plan.

Table 30 below lists those deliverables with delivery dates predicated on the contract start date or start of a phase or work unit. These deliverables as well as all the others listed in this section must all appear in the vendor's Detailed Project Work Plan, some of them (e.g., 20 – Completion of Roll-Out Plan) multiple times since they are Implementation Phase-related. Thus, we note that Table 30 contains 15 specific dates while below the table there are 37 items listed as minimum requirements related to project deliverables. The items in the table that have specific dates are RFP-specified deliverables that are required within a specified amount of time following the start of the project, e.g., item 2, a detailed project plan. It is inappropriate to specify that Weekly Status Reports be delivered within one week of the start of the project, two weeks of the start of the project, etc. It is highly appropriate to require that Risk Management Reporting Methodology be delivered within 90 days (or some other ETF-specified time period) after the project starts.

Table 30 Delivery Due Dates for Deliverables

NBR	DELIVERABLE	DAYS POST CONTRACT START	DAYS PRIOR TO START OF PHASE OR WORK UNIT
1	Detailed Phase I (Sixty-Day) Work Plan	0	
2	Detailed Project Work Plan	60	
3	Communications Plan	60	
4	Concept of Operations Document	60	
5	Development Methodology Overview	60	
6	Installation/Configuration of Hardware	120	
7	Installation/Configuration of Software	120	
8	Statements of Work		30
9	Risk Management Reporting Methodology	90	
10a	ETF's Original Requirements Traceability Matrix (RTM)	60	
10b	Vendor Update of RTM	90	
17	Change Control Methodology	90	
18	Problem Incident Reporting Methodology	90	
19	System Security Plan	120	
20	Phase Rollout Plan		45

C.3.1 DELIVERABLES

The following section further identifies the minimum set of high-level deliverables required of the project. The list includes deliverables identified above (i.e., those with dates predicated on project start date or task or work unit start date) as well as deliverables due on a schedule dictated by the project plan developed by the vendor:

1. DETAILED PHASE I (SIXTY-DAY) WORK PLAN

The contractor must provide a complete, detailed plan covering all activities to be undertaken during the first sixty days of the project (Phase I) at the time of contract signing. This plan forms the basis for the next deliverable, the Detailed Project Work Plan, but also provides ETF with information about what is happening during the first two months of the project (Phase 1 – see Section C.6.1.7), when personnel will have to be available for consultation, for document review, etc. The plan must include all deliverables due before or at the end of Phase 1, complete with start dates, completion dates, hours to complete, dependencies, contractor and ETF resources assigned and project milestones. The work plan will be reviewed at weekly meetings between ETF and the contractor.

2. DETAILED PROJECT WORK PLAN

The contractor must provide a complete, detailed plan of all activities required to meet all of the project requirements including: system design; development (to meet custom requirements); user, administrator and developer training; testing; conversion; and post-installation warranty. Building on the initial Sixty-Day Work Plan, the plan must include all project deliverables, all detailed tasks with start dates, completion dates, hours to complete, dependencies, contractor and ETF resources assigned and project milestones. The work plan must reflect the phasing of the project as described in Section C.6.1.7. This plan must be established and maintained by the contractor throughout the life of the project using Microsoft Project. It will be reviewed at weekly meetings between ETF and the contractor. The detailed plan must be presented to ETF within the time period indicated in Table 30 Delivery Due Dates for Deliverables; it is to be updated whenever any changes are made to the plan but no less frequently than quarterly.

3. COMMUNICATIONS PLAN

The vendor must provide a project communications plan on which project communications to the various organization stakeholders (including users, administrators, members, and employers) will be based. The plan must address who will be provided what information, when it will be provided, and in what format. For additional details, see Section C.6.2.1. The communications plan must be presented to ETF within the time period indicated in Table 30 Delivery Due Dates for Deliverables.

4. CONCEPT OF OPERATIONS DOCUMENT

The contractor must provide a top-level Concept of Operations (COO) document, described in detail in Section C.6.2.2 of this RFP. The COO is to describe in business user-oriented English (without technical terms) how the new solution will operate from the business user's perspective. It must explain what the users should expect in terms of the new system's functionality and graphical user interface – e.g., screens, processes, calculations, and workflow. The COO must be presented to ETF no later than the time period indicated in Table 30 Delivery Due Dates for Deliverables.

5. DEVELOPMENT METHODOLOGY OVERVIEW – END USER DOCUMENT

The contractor must provide a top-level Development Methodology Overview – End User (DMO) document, described in detail in Section C.6.2.3 of this RFP. The DMO must describe, at a high level, how the system will be defined, designed, tested, and deployed, i.e., the vendor's development life cycle for the project – aimed at end-users. The DMO must be presented to ETF no later than the time period indicated in Table 30 Delivery Due Dates for Deliverables.

6. INSTALLATION AND CONFIGURATION OF PROPOSED HARDWARE ON SITE

While the vendor is required merely to specify the required hardware which will be provided and installed by ETF, we believe that issues as to configuration, etc., may arise. This deliverable anticipates that there will be a joint effort between ETF and the vendor to ensure that hardware specified for the solution will be suitably installed and configured. Unless otherwise specified by the ETF Project Director, hardware installation and configuration must be completed no later than the time period indicated in Table 30 Delivery Due Dates for Deliverables. See Section C.5.7 Installation and Configuration for detailed requirements in this regard.

7. INSTALLATION AND CONFIGURATION OF PROPOSED COMMODITY SOFTWARE ON SITE

All commodity software specified for the solution, whether supplied by ETF or by the vendor must be suitably installed and configured on the specified hardware. As with the installation and configuration of the proposed hardware, ETF anticipates that the installation and configuration of commodity software will be a joint effort, particularly in the configuration of utilities such as LDAP. This includes not only operating system and database management software and various software tools, but also all required commodity software associated with integrated imaging and workflow management capabilities. Software installation and configuration must be completed no later than within the time period indicated in Table 30 Delivery Due Dates for Deliverables.

8. STATEMENTS OF WORK (SOWS)

All work to be done under the contract to be awarded will be covered by written Statements of Work (SOW) authorized by ETF, which define reasonably sized components of work. Refer to Section C.6.3.2 for additional requirements relating to SOWs. As indicated in Table 30 Delivery Due Dates for Deliverables, a SOW must be submitted prior to the start of the tasks or activities identified in the SOW. Vendors must acknowledge and agree in their response that in no way shall SOWs diminish responses to the requirements as articulated in their RFP submission.

9. COMPLETION OF RISK MANAGEMENT REPORTING METHODOLOGY

Within the time period indicated in Table 30 Delivery Due Dates for Deliverables, the vendor must deliver a detailed Risk Management Reporting Methodology for use throughout the project in reporting risks identified during the course of the project. See Section C.6.3.9 for details.

10. UPDATED REQUIREMENTS TRACEABILITY MATRIX

ETF will develop and provide to the contractor the Requirements Traceability Matrix within the time period indicated in Table 30 Delivery Due Dates for Deliverables. The contractor must update and return it to ETF also within the time period indicated in Table 30 Delivery Due Dates for Deliverables. Refer to Section C.6.3.1 on the Requirements Traceability Matrix for additional information.

11. DETAILED REQUIREMENTS DEFINITION

Prior to the installation, design, and construction of each major phase, a detailed requirements definition document will be submitted to ETF for review and approval. This document will describe, for each phase, the requirements to be met by the particular phase. When all of the phases are viewed "in total," **all** requirements defined in the RFP will have been defined at a detailed level.

12. COMPLETION OF DETAILED SYSTEM DESIGN SPECIFICATION

The Detailed System Design Specification must include all components of the system. It should include use cases, use case models, site map(s), database schema, data element dictionary, logical data models, physical data model(s), deployment diagrams, activity diagrams, integration build plans, design packages, design models, interface design models, process flowcharts where appropriate, and supplementary specification documents. The method of implementing security in each application element must also be defined in this specification. The successful vendor must conduct walkthroughs of the Detailed System Design with appropriate members of ETF's project team and provide demonstrations to enhance ETF's understanding and to facilitate review and approval by ETF.

13. INSTALLATION OF AND CONFIGURATION OF THE BAS APPLICATION

The BAS application software must be delivered, installed, and configured on the proposed hardware in a phased approach in accordance with the schedule outlined in the vendor's detailed project plan (see §2).

14. COMPLETION OF DATA CONVERSION AND MIGRATION PLAN(S)

A Data Conversion and Migration Plan must be provided for the project. The plan will include a detailed description of the conversion methodology and process, a description of the process for keeping new and old systems synchronized, a description of any parallel processing supported, and a description of the quality assurance process to assure that all records have been converted correctly and fully. ETF anticipates the need for multiple Data Conversion and Migration Plans, corresponding to the project phases.

15. COMPLETION OF DATA BRIDGING PLAN(S)

A detailed plan for bridging data between the legacy systems and the new solution during the period when both systems will be in use must be provided. ETF anticipates the need for multiple Data Bridging Plans, corresponding to the project phases.

16. COMPLETION OF TEST PLANS

The successful vendor will be responsible for the development of all test plans <u>for the entire system to be implemented</u> at ETF, not just for the customizations implemented specifically for ETF. This includes all unit tests, system tests, integration tests, accessibility tests, and User Acceptance Tests. The successful vendor will design and develop test scenarios, test variants, test cases, test data, and expected test results for each phase of each rollout. Test plans and related activities will be repeated for all phases.

17. COMPLETION OF CHANGE CONTROL METHODOLOGY

Within the time period indicated in Table 30 Delivery Due Dates for Deliverables, the successful vendor must deliver a detailed Change Control Methodology for use throughout the project. See Section C.6.3.7 for details.

18. COMPLETION OF PROBLEM INCIDENT REPORTING METHODOLOGY AND TOOLSET

Within the time period indicated in Table 30 Delivery Due Dates for Deliverables, the successful vendor must deliver a detailed Problem Incident Reporting Methodology implemented using a commercially available problem reporting toolset for use throughout the project in reporting production problems as well as any problems identified during testing activities. See Section C.6.3.8 for details.

19. COMPLETION OF SYSTEM SECURITY PLAN

Within the time period indicated in Table 30 Delivery Due Dates for Deliverables, the successful vendor must deliver a completed System Security Plan that provides an overview of **all** of the security requirements associated with the BAS throughout its life cycle. The plan must describe the processes and controls that are necessary to protect the application from loss, misuse, or unauthorized access to or modification of information as well as the protection of data, etc., during the life of the project.

20. COMPLETION OF ROLLOUT PLAN

A detailed rollout plan for each functional cutover phase must be provided for review and approval by ETF within the time period indicated in Table 30 Delivery Due Dates for Deliverables. The plan must detail tasks, responsibility, duration, deliverables, and "ownership" among all project stakeholders (i.e., ETF, the contractor, and all involved third parties). The plan must detail week-by-week, day-by-day, and in some cases hour-by-hour activities.

21. COMPLETION OF TRAINING PLAN AND TRAINING MATERIALS

A detailed training plan for each rollout phase must be delivered, specifying who will be trained, what subjects will be covered, and a schedule for all training sessions. Included in the training plan must be training for ETF staff in the use of the Change Control Methodology and the Problem Incident Reporting Methodology. In addition, training materials must be developed and delivered to ETF for review prior to the start of actual training activities. This deliverable must include, not only training in the use of screens and windows, pull-down menus, radio buttons, data entry, and the like, but also training in all of the functions, processes, and sub-processes that users will need to accomplish their role-specific work duties. . Training must address ETF users as well as employers and TPAs; in addition, within ETF, training must be aimed at two different cohorts – users involved in UAT and the general user population.

22. COMPLETION OF MODIFICATIONS TO BAS APPLICATION

Modifications to the BAS application software to satisfy the specific functional requirements of ETF must be implemented.

23. INTEGRATION WITH EXISTING FINANCIAL CAPABILITIES

The application must be seamlessly integrated with ETF's newly implemented PeopleSoft financial system. For additional information on this existing financial system capabilities refer to Sections B.1.3.5 and B.1.6.3.

24. INTEGRATION WITH EXISTING OR REPLACEMENT IMAGING CAPABILITIES

The application must be seamlessly integrated with ETF's existing and/or replacement imaging capabilities. For additional information on this requirement refer to Sections E.4.3.4.4, C.4.7.3, and C.4.7.4.

25. DELIVERY OF SEPARATE DEVELOPMENT, TEST, TRAINING, QA, AND QUERY ENVIRONMENT

The successful vendor must implement a separate processing environment for staging, development, test, training, QA, and query purposes. The successful vendor will be responsible for replicating the BAS application and database in this second environment, including any additional configuration activities that may be necessary. Refer to Section C.5.2 for details.

26. COMPLETION OF TRAINING

The contractor must provide phased training for managers, users (including employers and TPAs), administrators and development personnel based on the training plan and training materials delivered earlier in the project (see §21 above). This training may be a combination of standard courses, on-line training modules, and customized, implementation-specific training.

27. DELIVERY OF DOCUMENTATION

The contractor must deliver a complete set of systems and user documentation, which must be specific to and approved by ETF. All documentation delivered must be of the 'as-built' version of the system. User documentation must address not only the use of screens and windows, pull-down menus, radio buttons, data entry, and the like, but also all of the functions, processes, and sub-processes that users will use to accomplish their role-specific work duties, i.e., the Work Process Manual and on-line help facility discussed in Section C.7.2.

28. COMPLETION OF VENDOR ACCEPTANCE TESTING BY THE SUCCESSFUL VENDOR

Certification that the successful vendor's staff members have successfully completed all unit, system, integration, etc., tests must be delivered to ETF prior to the contractor commencing its version of unit acceptance testing activities, i.e., Vendor Acceptance Test. Such testing will be performed for each functional cutover phase of the project. Refer to Section C.7.4.2 for details.

29. COMPLETION OF VENDOR ACCEPTANCE TESTING (VAT) PER PHASE

The Vendor Acceptance Testing will demonstrate the successful testing and operation of the system by the contractor, ensuring that the new solution is functioning and processing data correctly and ready for ETF User Acceptance Testing. Tests to be performed by the contractor herein include end-to-end application testing, stress tests, volume tests, accessibility tests, and performance tests to assure that the solution will meet performance requirements under expected user loads, backup and recovery testing and installation testing. VAT must be performed for each functional cutover phase of the project. As part of VAT, the contractor will provide a written statement, signed by both the contractor's project manager and the contractor's test director (an individual separate and apart from the development staff charged with only test and quality assurance responsibility) that all tests have

been completed satisfactorily (at a minimum 95%) and that the system is ready for User Acceptance Testing (UAT). The final output of VAT will be both hardcopy and electronic test materials including, but not limited to: test plans, test scripts, expected test results, and tangible proof that test results were produced and compared to expected test results. UAT will not begin until two weeks after **all** VAT material has been provided to ETF. Refer to Section C.7.4.2 for details.

30. COMMENCEMENT OF USER ACCEPTANCE TEST (UAT) PER PHASE

User Acceptance Test will commence after the contractor has certified the completion of contractor acceptance testing and readiness for UAT (including having 95 percent of major processes perform without major errors). Users will perform the testing utilizing test scripts developed and provided by the contractor. All issues will be documented according to a formalized issue tracking process. UAT will not be deemed complete until 98 percent of major processes within ETF can be performed without errors or issues (and the other 2% have acceptable work-arounds).

31. ACCEPTANCE OF THE SYSTEM BY USERS PER PHASE

After successful completion and acceptance of the UAT, the system will be turned over to the users for production use.

32. COMPLETION OF THE CONVERSION PROCESS PER PHASE

Completion and verification of the conversion of all retirement system data in accordance with the Data Conversion Plan referenced in §14 above.

33. SOURCE CODE

The contractor must deliver the BAS application source code as customized to meet ETF-specific functional requirements upon the delivery of the system for use in each phase and no less frequently as every month thereafter. Source code should also be Escrowed on a monthly basis at a mutually acceptable Escrow entity. See Section C.5.6.2 BAS Application Software for a more complete discussion of the vendor's responsibilities with respect to source code.

34. WEEKLY STATUS REPORTS AND MEETINGS

The vendor must deliver weekly written project status reports and facilitate weekly status meetings throughout the life of the project.

35. MONTHLY STEERING COMMITTEE MEETINGS

The vendor must attend monthly Steering Committee meetings throughout the life of the project as well as occasional Board meetings as requested by ETF senior management.

36. BAS APPLICATION SOFTWARE LICENSE

The contractor will be required to deliver to ETF a license for the use of the BAS application software and all requisite support, development, third party, and additional software necessary to use and maintain the BAS application.

37. WARRANTY

The contractor must provide a warranty for the BAS application effective from the time of the first rollout through 12 months after final acceptance by ETF of the last rollout.

C.3.2 ADDITIONAL INFORMATION

Depending on the options selected and authorized by ETF, additional deliverables will be required.

Vendors are encouraged to identify and appropriately schedule additional project deliverables, as applicable, beyond the minimum set identified above.

Vendors are advised that the project deliverables discussed above are **not** related to payment points. Deliverables – termed herein "contractual deliverables" – that, upon their written acceptance by ETF, will trigger contractor to invoice for payments. There are 14 such contractual deliverables. For each, proposers will indicate via Table 3 Proposal Evaluation Criteria the percentage of the total project cost that is to be allocated to it (please refer to Section A.3.6).

C.4 FUNCTIONAL REQUIREMENTS – INTRODUCTION

The following sections provide detailed information on the business and technical functional requirements that are to be satisfied by the new system. The information is divided into the functional business areas that ETF supports. The vendor is required to provide:

- Existing functionality (the "as is state" defined in Section B.2 Current As-Is Business Functionality) that must be reproduced (unless it is replaced by functionality defined in either of the two subsequent bullets), albeit **with a greater degree of automation, integration, and imaging enabling; with improved business processes and workflow; with improved data accuracy; and with an improved degree of user and customer satisfaction**
- Functionality to support the execution of all processes required in accordance with enabling legislation, Board policies, etc. that are in effect on the day of contract execution
- New functionality (the "to be state" defined in the following sections) that must be developed with a high degree of automation, integration, and improved business processes and workflow. We note that not every one of the requirements in subsequent sections includes the word, "automatically." ETF's preference is to automate processes to the extent possible, and to discuss with the selected vendor those processes that the vendor recommends not be automated.

C.4.1 VENDOR RESPONSIBILITY FOR DETAILED REQUIREMENTS DEFINITION

Prior to further defining the vendor's responsibility with respect to documenting ETF's current functions, governing business rules, current calculations, etc., we emphasize that the Enterprise Business Model described in Section B.1.6.1 (the outcome of which is documented in Appendix E.21) has already accomplished one thorough pass through of the definition of the current environment called for in this section. While the vendor must verify and validate the material with ETF staff, the EBM project has been undertaken with great care to provide a thorough understanding of the existing processes, business rules, and business calculations.

Further, as documented in the EBM, ETF's environment is governed by a myriad of rules, regulations, "standard" operating procedures, and long-standing practices (both formal and informal, documented and undocumented). Developing a full set of all of the rules, regulations, procedures, and practices that need to be accommodated in the new solution is a critical, integral part of the project – and the key to its eventual success. Vendors must factor into their proposals, in terms of manpower, cost, and schedule, their responsibility to completely:

- Explore and define all such rules, regulations, policies, procedures, processes, practices, and calculations – both written and unwritten (i.e., policy of long standing) – that currently exist and those to be added in the new environment
- Develop pertinent specifications for all requirements at the appropriate granular level of detail while also incorporating industry "best practices" when appropriate
- Implement those capabilities.

In preparing their responses to this RFP, vendors are cautioned to budget sufficient manpower to decompose this information to a level of detail sufficient to obtain sign-off from ETF staff during the initial phases of the implementation.

Among other factors, vendors' responses will be evaluated on the basis of their commitment to this portion of the effort, as evidenced by their work plan for addressing this issue and the funds, manpower, time allotment, and quality of vendor staff proposed to be dedicated to it.

Because this issue is critical, vendors **must affirm in writing, both in their proposals and in the accompanying cover letter,** their understanding of this responsibility. In developing the requirements definition of the new system, ETF expects the selected vendor to involve ETF staff members in many requirements and design "workshop" sessions. This involvement of staff members is understood by ETF as essential to preparing correct, comprehensive requirements definitions and systems designs. Yet the time required of ETF staff for this level of participation may inhibit the day-to-day business of ETF. Therefore, ETF requires that staff participation in the requirements definition process be as efficient as possible.

To this end, any written materials supplied by the vendor for use in requirements and design meetings with ETF staff must be targeted specifically to ETF. ETF recognizes that the vendor may utilize materials prepared for other retirement system customers to "bootstrap" the design definition effort. However, such materials must be purged of any specifics (including but not limited to name references, forms, and calculation routines) that relate to another of the vendor's customers. Ideally, these materials should be tailored to ETF's specific business practices from the time they are first exposed to ETF staff members. At a minimum, they must be neutral, that is, they must not contain any overly specific references to specific practices of other retirement systems so as to avoid any confusion or wasted effort during the requirements definition and design sessions with ETF staff.

If at the time of contract award, requirements gathering, or detailed design, an agreement is made between the vendor and ETF not to implement any current functionality, that agreement must be documented thoroughly and signed by both parties.

Any and all functions inherent to manual calculations and standalone spreadsheets in the "as is" environment are to be automated and seamlessly integrated in the new system. In this context, integrated means the system does the calculation, and not that the spreadsheet is loaded with data and then manually executed by a user and the resulting data re-entered into the BAS system.

Finally, the vendor is referred to Section C.5.8.1 for a discussion of the potential impact of unattended processing on interactive performance.

C.4.2 ADDITIONAL REQUIREMENTS FOR THE BENEFITS ADMINISTRATION SYSTEM SOLUTION

We summarize that there are a number of principles based upon which the requirements in subsequent sections were based. At a very high level, those principles include:

- The public interface of ETF will be a combination of the Call Center (assisted with tools and access to knowledge far beyond that available to them today) and a set (member, employer, third party, etc.) of customizable portal interfaces that provide all the tools possible to allow the customer to answer their own questions and initiate their own processing
- Scanning of all incoming documents and the subsequent distribution and management of all work that results from such documents (as well as requests made by phone, portal, etc.) must be managed by a tightly embedded workflow engine
- As much data entry as is possible should be done by those outside of ETF staff, e.g., members will be encouraged to use the web-portal to the extent possible, and employers (assisted by tools provided within the new BAS) will be held responsible for ensuring their periodic reports are complete and correct before they are posted

- Third parties such as insurance administrators, who today interface with ETF on an ad hoc basis and whose requests are most often handled manually, will be provided with access to the system through the portal very similarly to the interface afforded employers
- All security within the system will be managed on a role-based model. Thus all references to user and authorized staff are meant to refer to those members of the ETF community who are authorized to perform the indicated function
- Consistency of brand (color, font, presentation, behavior, logo usage, etc.) across the entire spectrum of the BAS solution, including external interface, internal interface, forms, reports, etc.

C.4.3 SPECIFIC INFORMATION ABOUT THIS PORTION OF THE RFP

The matrices referenced below and detailed in the tables in Appendix E.4 Functional Requirements, list the many detailed business function capabilities that the proposed integrated retirement system solution must provide.

THE VENDOR'S RESPONSE MUST INCLUDE A COMPLETELY FILLED IN MATRIX FOR EACH FUNCTIONAL AREA IN ORDER TO BE CONSIDERED FOR EVALUATION. THE "ABILITIES TO" REQUIREMENTS AND THE RESPONSE EACH VENDOR PROVIDES TO THESE REQUIREMENTS ARE CRITICAL TO THE VENDOR SELECTION PROCESS AND INVALUABLE TO ETF. THE VENDOR MUST ENSURE COMPLETE REVIEW AND RESPONSE TO APPENDIX E.4!

The column headings in the 'To-Be" matrices are:

1. **Requirement ID** – an internal indicator of the specific requirement
2. **Description** – a detailed description of the requirement
3. **Exposed via Web** – checked by ETF to indicate that functionality must be exposed (under appropriate security) to customer as appropriate
4. **Highly Desired** – capability required by ETF as part of the BAS
5. **Desired** – capability is desired but not required as part of the BAS
6. ***Compliant*** *– checked by the vendor to indicate functionality included in the base product with no customization required. (Configuration of tabular parameters by user administrator or business analyst is acceptable herein.)*
7. ***Customization*** *– checked by the vendor to indicate functionality* ***not*** *included in the base product but will be provided to ETF by a customization to the base product.*[6]
8. ***Non-Compliant*** *– checked by the vendor to indicate functionality is not currently included and will not be provided by a customization.*

To ensure that ETF's selection of a vendor is adjudicated by the merits of the proposed solutions, <u>one of the responses in columns 6-8 must be provided for each listed capability in the "To Be" matrices</u>. Vendors are to check the appropriate column in the matrix to indicate their response.

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[6] Note that should the vendor propose that any required capabilities be provided through customization of the base product, vendor is also required to describe how subsequent releases of the base product will incorporate those customizations – or otherwise ensure that ETF loses no functionality when they upgrade.

ETF believes that the table-oriented approach for presentation of functional requirements is an appropriate method for succinct description of the requirements and for the vendor's response. However, the approach does not provide ETF with a "feel" for how the functionality is provided. Therefore, even in those sections where no specific request is made for expansion on the requirements, in addition to completing the table, the Vendor must also provide a narrative description of the functionality provided in each specified functional area.

In an effort to make clear to the vendor the hundreds of functional requirements that ETF has developed within this RFP, they are sub-divided in the sections that follow into three specific areas:

- Major Business Functions, e.g., Employer Reporting
- Supporting Business Functions, i.e., those which are cross-functional areas such as Reporting
- Technology-Based Business Functions, e.g., Imaging

Where applicable, the detailed functional requirements have been further divided into:

- Input
- Process
- Output
- Control
- Metrics.

ETF has a vision that the new BAS solution will be rich in browser-based and web-enabled self-service functionality, providing ease of use not only to ETF's users, but also to ETF's customers. Specific implementation and/or policy decisions as to which Web-enabled self-service features should be "turned-on" and "when" are to be discussed and agreed upon throughout the course of the implementation project. As a result, the ability to support the timing of the initiation of the Web-enablement of required functionality must be easily administered by an application administrator and not an IT specialist or system administrator.

ETF notes that not all of the requirements listed in the tables in Appendix E.4 include the word "automatically." For example, not all of the requirements that discuss the creation of correspondence specifically state that such correspondence must be done automatically. This should not be understood to mean that such a requirement should therefore not be accomplished automatically. The vendor is to understand that whether or not the word "automatically" is included in the specific requirement, the implementation should strive to perform all rote tasks and as many others as practicable without staff member intervention. ETF requires that during the requirements gathering phase of the project, for any task on which ETF and the successful vendor disagree about automation, the vendor is to provide compelling arguments supporting the vendor's position.

Vendors are to take note that Web-enabled functionality – whether applicable to ETF users or customers – must be available on a near 24 X 7 basis. If some level of "downtime" is essential for system / Web-site maintenance and support, then the downtime period must be no greater than four (contiguous) hours per week on a pre-established schedule (e.g., every Sunday morning between 2:00 AM and 5:00 AM). Vendors are to explicitly state their agreement to meet this critical performance requirement in their technical proposals.

C.4.4 DESIRED "TO BE" MAJOR BUSINESS FUNCTIONALITY

The specific business functional requirements that appear in Appendix E.4.1 are broken down into the following categories corresponding to the RFP sub-sections which follow:

1. **Activity Tracking** – This section captures requirements surrounding information and processes such as names, addresses, telephone numbers, emails received from the customer, records of reports or forms generated to send to the customer, requests by the customer for forms, and other capabilities one might find in a contact or Customer Relationship Management (CRM) system (see Appendix E.4.1.1)
2. **Annual Statement** – This section defines characteristics about the annual statement production process and what may potentially be found as general information on the annual statement. It is not a layout of the annual statement itself. Such would be the domain of the requirements definition process conducted by the winning bidder. It stipulates, for example, the ability to modify the member statement format, given ETF or WRS changes, ability to re-run the statement and job under certain conditions, and the ability to order the statements in a fashion that allows for reduced postage. For ETF, these statements should be all inclusive of Retirement and Insurance Benefits when/where applicable
3. **Beneficiary Maintenance** – This section deals primarily with the requirements for inputting a member's beneficiary designation, changing that beneficiary's data, and maintenance of any survivor's beneficiary designation applicable to their share of the death benefit and/or any other WRS account or annuity
4. **Benefit Estimates** – This section deals with requirements for calculating a benefit, short of adding the benefit to the active retiree payroll. Capabilities here are not unlike those of benefit calculation, with the distinction that an estimate is not committed to the payroll process
5. **Benefit Processing and Calculations** – This section deals with the tasks required to put the account in order and calculate a benefit once the member has asked for one. It also covers the ability to update the benefit calculation logic within the application itself without source code changes. It effectively deals with all the "window dressing" that has to be done prior to calculating a member's benefit and adding the benefit to the payroll
6. **Call Center** – This section describes the windows, forms and other functionality available to call center staff to deal with incoming customer calls. This includes the ability for an incoming call to prime the application and display certain windows when the call is taken by a call center staff person, the ability for certain screens to retrieve all customer information related to that customer at a high level; for example, member's last payroll received, type of benefit, date of birth, latest beneficiary designation, customer's name, unique ID number. This is broader than "just" a customer call center since the vision of the future sees this as being an end-user help desk in addition to a "call center"
7. **Customer Education** – These requirements include the registration of members for both group education sessions and individual meetings, webinars, and employers for benefit/reporting seminars. This also includes reporting and recording of education and individual or group sessions in which members/ employers participated
8. **Customer Maintenance** – This section deals primarily with the ability to track characteristics of members (member centric) and of beneficiaries, and of the beneficiaries they have assigned to their benefit or to their account as well as employers and third parties. Information such as marital status, number of beneficiaries, benefit-allocation for the death benefit are recorded here. The ability to flag certain characteristics for the beneficiary or member are available as well
9. **Death** – This section captures the information and describes the processes required to record a member's death and to distribute a death benefit to the member's beneficiaries. It also covers generating estimated death benefits and the ability to recalculate the death benefit in the event new or additional information is received

10. **Deferred Compensation** – This is the name typically given to IRS 457 defined contribution plans. This set of requirements pertains to the ETF deferred compensation program.
11. **Disability** – This section deals with the requirements for the submission of the disability applications or claims, reviewing, tracking medical board actions, and placing a member's approved disability benefit on payroll. This group also includes the actions of performing the Disability calculations, and annual or (or more frequent) processing of earnings statements and medical reports
12. **Employer Reporting** – This section deals with processes related to receiving the employer wage and contribution report, whether on a monthly basis or more frequently, and the transfer of accounting information resulting from it, over to the General Ledger, or summarized into a receivables section within the Benefits Administration application itself. This section also has to do with how errors related to a wage and contribution report are resolved, and email and correspondences to the employer, based on the results of the validation processes run against the wage and contribution report
13. **Enrollment** – This section captures the requirements for adding new members to the Benefits Administration application as well as annual re-enrollment for many other benefits and any validation submitted with their enrollment according to business rules
14. **Flexible Compensation** – This set of requirements allows eligible members (sometimes active and retired) the ability to elect to reduce their salaries to pay for qualified insurance premiums, medical expenses, and dependent care expenses on a pretax basis
15. **Funds Management** – This section deals with the ability to handle General Ledger and accounting-related requirements, such as cash receipts, generating transactions regarding receivables from employers, the reconciliation of the accounts to other of the agency's accounts; for example, demand deposit accounts, tax forms and bank statements
16. **Group Insurance** – This section deals with the provision of health, life, vision, dental, income continuation, long-term care insurance, etc., to members and to other customers. A variety of reports required for (other than retirement) benefits administration are covered in this section, as are capabilities to track premium billings and receivables
17. **Management of Administrative Reviews** – An important part of the management of applications for benefits is the management of member appeals. We have chosen to separate the administration of hearings and appeals from the Disability requirements (where a number of appeals are initiated) described above
18. **Multiple Service** – This section deals with conveying member service information (creditable service years and wages) from WI ETF to other retirement agencies such as CMERS or Milwaukee County or vice-versa. We have heard this described as "transfers" and as "reciprocity" in other retirement systems
19. **Payroll and Other Payments** – This section deals primarily with the processes related to the monthly benefit payments that are made, whether through checks or automated fund transfers of one sort or another. This also includes processes for the reconciliation of payment detail to summary reports
20. **Power of Attorney** – This section deals with a member's election to assign a Power of Attorney (POA), guardian, etc., to their account, and the effective dates of the individual's POA. It also includes various correspondence related to changes in POA privileges
21. **Purchase of Service** – This section deals with the requirements to purchase or repurchase service credit in order to increase the number of credible service years that a member has

available to them for retirement benefit. This includes derivation of the cost, plans for repayment and reports surrounding same

22. **QDRO and Court Orders** – Capabilities within this section revolve around the ability to connect one member's qualified domestic relations order potentially with another member's, in the event that both are members, for example; the ability to record a number of QDRO's on a member's account, and the ability for the system to display a message if a QDRO is on account for a member, to prevent the member from taking a benefit without taking into consideration the QDRO
23. **Separation Benefits and Refunds** – This section deals with the ability to handle requests by members for withdrawal of their contributions. It addresses full refunds as well as partial refunds, and the recording of appropriate information for the withdrawal of refunds to be processed correctly for 1099-R production
24. **Retiree Return to Work** – These requirements allow the ability to track a retiree's return to work and the identification of whether this class of service results in termination of benefit or is allowed
25. **Sick Leave Conversion Credit** – These requirements assist in the management of a credit given to members based on accumulated sick leave at the time of their retirement or on their longevity as a member of WRS. The credit can be used in payment of health insurance premiums and is financed through an employer contribution
26. **Tax Reporting** – This section deals with all the characteristics required for accurate production of 1099-Rs, including the appropriate classification of distribution data, in both the lump sum process and monthly benefits payroll. This also includes production of files for submission to the various taxing authorities, as well as physical production of the 1099-Rs themselves
27. **Third Party** –These requirements cover the enrollment, management, payment, and other administration of the third parties which work with ETF (most often as TPAs of various benefit programs) to provide the broad set of insurances and other benefits.

C.4.5 DESIRED "TO BE" SUPPORTING BUSINESS FUNCTIONALITY

The specific business functional requirements that appear in Appendix E.4.2 are general in nature, being applicable across more than one of the business areas for which business requirements are defined in the previous section. The requirements for the supporting functionality are divided into categories corresponding to the RFP sub-sections which follow. They are:

1. **Audit and Security** – This section defines the requirements for tracking use of the system and access to specific capabilities within the system, how passwords are changed or set, what characteristics of the passwords exist, and additional information about how and in what areas a staff person may access the system. This section also discusses the audit trail, the ability to track the audit trail and the ability to filter and query on the audit trail. Typical reviewers of the requirements in this section of the RFP are agency management, the internal or external auditor, and those responsible for system security (see Appendix E.4.2.1)
2. **General** – The general requirements are generic in nature and apply to either the technical core of the system (e.g. parameter, table driven system, on-line help, ODBC compliance) or functions/rules within the application that are required in many if not all of the business process (e.g., support pre-filled forms, provide mailing labels, automatically capture and store all outgoing correspondence for access through the member folder)
3. **Reporting, Statistical Reporting, and Querying** – This section defines capabilities within the BAS application that allow authorized ETF staff or customers to use existing reports (sometimes

known as "fixed format/variable content") and to create new ones and to query data online within the application itself, and not through a data warehouse or other means. The user should be able to define and save reports, send them to various output devices, including the workstation screen, printers, potentially fax servers, or possibly email. This category includes general reporting and querying requirements (e.g. add a watermark to all reports, ability to export to Excel, print, save, or view only, provide a parameter driven reporting tool), requirements for certain standard reports/queries (e.g. member and employer reports by status, staff performance reports, quantity of reports to be written by vendor), and reporting requirements are over time, providing trend analysis capabilities that typically are satisfied using a data warehouse. We point out, however, that ETF seeks a solution that meets the stated functional requirements; there is no specific requirement for a data warehouse.

C.4.6 DESIRED "TO BE" TECHNICAL FUNCTIONALITY – INTRODUCTION

The matrices that appear in Appendix E.4.3 list the many detailed capabilities required of technical enabling functions integrated into the proposed retirement system solution. The specific areas covered by this set of requirements include the areas described below:

1. **Business Process Management / Workflow** – These requirements are for electronic workflow application tools including routing rules, workflow and routing management reporting, automated workflow steps and actions as well as requirements for integration with imaging and the BAS (see Appendix E.4.3.1)
2. **Business Rules Management –** ETF expects the provided solution to permit ETF-performed maintenance of the myriad business rules on which a complete retirement administration solution is based. The requirements outlined here provide the capabilities that ETF believes are necessary to ensure that management.
3. **Customer Relationship Management (CRM) and Contact Management** – The objective of these requirements is to provide business users with easy (single query) access to all pertinent information about a customer (e.g., member, retiree, beneficiary, employer) when a contact occurs, as well as the ability to update the contact information to reflect the most recent transaction or information provided to the customer via the system (e.g., change in beneficiary, retirement estimate) or as a result of a communication between WI ETF and the customer – typically by phone, email, or fax (and, far less frequently, in person). Such requirements would also include the ability to see the history of previous contacts and communications. There is some overlap between this category and Activity Tracking. This function should also ensure that the business users and the customers view exactly the same information in the same format and at the same/"real-time"
4. **Electronic Content Management (ECM)** – WI ETF has chosen to collect under the single ECM heading all of the technologies that will be used in the management of electronic content including some (Correspondence Management) that are not found in the traditional definition of ECM:
    a. **Content on Demand (aka Print on Demand)** – Requirements for the on-demand (as opposed to pre-printing, storage and distribution of multiple copies) of brochures, handbooks, etc., typically customized to the specific needs of the person requesting the printing, e.g., pre-population of member name and SSN fields if a member is making a print request, but not if an employer is making it

b. **Correspondence Management** – Requirements associated with the automatic generation, capture, and management of all correspondence that results from interaction with the new solution

c. **Paper and Electronic Forms (eForms) and Portal Management** – Requirements covering the use (and the user interface in particular) of the internet to provide interaction between ETF customers and ETF

d. **Imaging** – Requirements for an imaging system including requirements for scanning, image capture, indexing (both manual and barcode), System Standards and induction. This also includes the requirements for viewing images, annotating and manipulating. The technical standards for an imaging system (file standards, data storage, and retrieval) are included

e. **Knowledge Management** – Requirements that cover the creation and use of a repository of "knowledge" linking the laws and statutes by which ETF's business is governed, the practice by which those statutes (and previous ones) have been applied in making decisions affecting ETF's members, and general knowledge about what steps to take in using the new solution to perform a process or find an answer to a question

f. **Print Archive (aka COLD)** – Requirements for capturing, storing, accessing and notating computer-printed documents and reports.

5. **Help Desk** – Requirements to implement a commercially available (not custom developed) help desk, PC/server hardware/software inventory and configuration management, and trouble reporting software package

6. **Records Retention and Administration** – Requirements for an imaging system including requirements for scanning, image capture, indexing (both manual and barcode/QR code), System Standards and induction. This also includes the requirements for viewing images, annotating and manipulating. The technical standards for an imaging system (file standards, data storage, and retrieval) are included

7. **System Support –** There are some data management oriented functional requirements that do not fit neatly into any of the categories listed above. ETF has created a category named System Support to contain requirements that will directly contribute to better administration of the system than might otherwise be provided

8. **Telephony and Integrated Voice Response (IVR)** – The proposer may be required to recommend the implementation of an Integrated Voice Response (IVR) unit and computer telephony interface (CTI). An IVR provides support that enables members and benefit recipients to obtain information / responses to specific requests in an easy, user friendly manner – while off-loading time-consuming, "low-value-added" processes from WI ETF staff.

C.4.7 ADDITIONAL NEW FUNCTIONALITY (INTRODUCTION)

In addition to the detailed business requirements relating to the existing and the desired "to be" ETF functions defined in Sections C.4.4 – C.4.6, above and in the corresponding appendices, the new solution must provide additional new functionality as described in the following sections.

Although some of the requirements in the following sections have been included in the desired "to be" matrices of Appendix E.4, these new functionality requirements are set forth separately in this section – and vendors are required to provide a separate response to them – for the following reasons:

- Many of them span more than one of the business function areas defined in Section C.4, or require a narrative description of the functional requirement
- ETF is interested in receiving a narrative response from vendors, discussing in detail how the new functionality will be implemented and what additional capabilities the vendor can provide in these areas above and beyond those that have been explicitly stipulated below.

C.4.7.1 UNIVERSAL UPDATE CAPABILITY

Please note that this is a broader capability than Mass Change. Mass Changes are typically limited to certain transactions. Universal Change would be all-encompassing of the Mass Change requirements already considered under "General" Requirements.

Perhaps this requirement is best illustrated and understood by starting with an example. A properly designed RDBMS will use tables to isolate data such that, for example, changing a bank routing number (for the 143 members who bank with a bank just acquired by another) is the change of a single database entry. However, in the new BAS application, users will not have access to individual RDBMS data entries. All changes will have to be made through the application. Therefore, changing the bank routing number for each of the 143 member mentioned above will require a transaction. A universal update will provide the ability to initiate a single transaction that makes all of the required changes – and also ensures that each of the changes is properly logged. Obviously, access to such a capability must be limited and controlled.

Based on the above example, a key requirement of the overall new system will be the provision for:

- The modification of any values of the data in any of the fields of any of the records or tables in the database as a user (not a computer programmer) function, i.e., a universal change capability generally applicable to all fields, with the possibility that a small number of fields must be protected from modification (to be determined during the system design). This universal update capability shall be severely restricted to only certain limited and tightly controlled user-ids.
- All such updates to data fields shall be date/time stamped along with an identifier of what logical user-id performed the modification. Batch updates are to be identified by the date and the program name. Again, the system must have sufficient security and internal controls, as well as appropriate segregation of duties, to allow certain changes to be made only by certain appropriate staff
- A daily (and upon demand) report, i.e., log or journal, of database changes will be generated. The log or journal will be capable of being sorted by any of the fields (i.e., including but not limited to: time change was entered, the data field altered, user-id, physical terminal id, and combinations thereof). Multiple journals (see below) shall be capable of being merged together and manipulated / analyzed. This report should be designed in a format that is easily comprehendible by non-IT personnel, such as a supervisor or administrator
- The journal file containing this information will be stored on-line forever.

C.4.7.2 CONSISTENT USE OF UNIQUE MEMBER ID

ETF requires that the new BAS be based on the use of a Unique Member ID, rather than the member's Social Security Number. Use of a unique Member ID requires at least the following actions:

- Determination of the format of the Unique Member ID including consideration of topics such as:
  - Number of characters

- Use of alpha and numeric characters
- One-time creation, conversion and/or migration

- Provision of a field in the member record to store the Unique Member ID
- Ensuring all correspondence will use the Unique Member ID rather than the SSN or terminal four digits of the SSN
- Assigning the new member ID to each imaged record and ensuring that images are retrieved using the new Unique Member ID rather than the SSN
- Assistance in planning of an education communication and roll-out campaign to alert members to the use of their new Unique Member ID rather than the SSN. (ETF will conduct the actual campaign.)
- Member-, employer-, and ETF worker-enabled searches that continue to support use of SSN as well as the new Unique Member ID since members may not always have their Unique Member ID at hand when communicating with ETF

In their response, vendors are required to provide a discussion of the above topics and others that arise as a result of the indicated change. Of particular interest to ETF is any experience the vendor may have with similar such migrations in other public retirement agencies, including issues that arose, etc.

C.4.7.3 REPLACEMENT OF EXISTING IMAGE SYSTEM

C.4.7.3.1 REPLACEMENT OF CURRENT INPUTACCEL IMAGE CAPTURE SYSTEM

ETF is currently facing a significant charge to upgrade the InputAccel image capture system that performs the image capture and ingestion functions within its ECM sub-system. For that reason, and understanding that there will be significant effort necessary to integrate any image capture system (InputAccel or other) with the new BAS, ETF desires to replace the existing image capture front end with a sub-system that is tightly integrated with both the BAS and the content repository (whether a replacement for Content Manager as called for in Section C.4.7.4, or a retained Content Manager as described in Option C.9.4).

The requirements for such a replacement would include:

- Providing a capture sub-system that is based on a commercially available image capture package such as InputAccel, Kofax, FileNet Capture, or other, that is capable of meeting the capture, image QA, indexing, forms recognition, release to the repository, etc., requirements listed in Section E.4.3.4 Electronic Content Management (ECM)
- Support for features such as forms recognition, use of 2-D bar codes, document endorsement and other such ingestion technologies as are currently available in any industry standard content management system
- Providing a capture sub-system with a complete Application Programming Interface (API) that enables complete and seamless integration of the image capture and indexing capabilities into the BAS
- Providing a sub-system that readily supports multiple document classes, including extension (not in the scope of the BAS project) to capture of document classes such as ETF Human Resources documents and Board Minutes

- Use of ETF's current image scanners (see Section B.1.3.6.2) – unless they do not satisfy the requirements of the new BAS system.

C.4.7.3.2 REPLACEMENT OF EXISTING CASTELLE FAXPRESS 5000 SYSTEM

As noted in Section B.1.3.6.2, ETF's current Fax Server capability has reached the end of its support and should it fail, ETF will have no automated inbound fax capability. Therefore, vendors are required to include automated in- and out-bound fax server capability in the hardware and software portions of their responses. And while the current fax server merely distributes faxes to printers around the campus, the replacement fax server should deliver faxes to the input image queue for subsequent indexing and integration into the received document process. (We note that such a process should also take account of the fact that some faxes are not documents that require storage in the image archive nor initiate workflow, and that such faxes therefore must still be handled the old fashioned way – on printed paper – unless the vendor can suggest a more efficient method of processing.)

C.4.7.4 REPLACEMENT OF EXISTING CONTENT MANAGEMENT REPOSITORY

Note that there is a mandatory Option covering retention of the existing content management repository, the acceptance of which would alter the requirements expressed below – see Section C.9.4.

As noted in Section B.1.3.6.1, ETF currently stores its 17,000,000 images in a State Department of Administration-supported IBM Content Manager repository. That repository exists on the mainframe and, as implemented, does not provide the flexibility that ETF would like of its Content Management repository. For a number of reasons that become obvious with an understanding of the material in Section B.1.3.6.1 in which ETF describes its current content management system, ETF believes that there is reason to replace the content management repository with an upgrade that includes a migration of the current images from the existing repository to the new one.

The requirements for such a replacement would include:

- Providing a repository sub-system that is based on a commercially available content management product such as FileNet, Content Manager or a similar product that is capable of meeting the storage needs expressed in the requirements listed in Section B.1.3.6 Electronic Content Management. ETF may be open to a proprietary repository capability should the vendor provide sufficient justification for that approach
- Providing a sub-system with a complete Application Programming Interface (API) that enables complete and seamless integration of the content management repository into the BAS, enabling ready storage of newly ingested documents, initiation of specific workflow processes upon receipt of specific document types, and ready retrieval of all images associated with any ETF customer
- Providing a sub-system that supports multiple document file formats, including those that are not necessarily managed within the context of the BAS, e.g., member, employer, and third party contents managed under the BAS and Board minutes, etc., that are accessible from outside the BAS
- Conversion of all existing imaged documents into the new repository with necessary and correct indexing as well as conversion of all annotations so that they appear in the same location on the same images to which they were originally applied, i.e., ETF requires a single repository

- Plan for the installation and conversion of the new system that makes the cutover from the existing content management subsystem to the new one seamless and problem free, particularly if the content management repository implementation is the first phase of the solution rollout – thus leaving users enthused and excited to get more functionality, not anxious and dreading further change
- Support for secure (external to ETF) customer access to a subset of the content stored in any customer record, for example, new correspondence but not previously submitted service purchase applications. Such access should not require a per-customer license fee but be implemented so that any new customer has immediate access to his or her documents in the repository

In their cost proposal, vendors should ensure that they include costs for the repository purchase, the implementation, the cost of porting 17,000,000 images, and the out year cost of ownership.

C.5 TECHNICAL REQUIREMENTS

ETF is open to proposals that incorporate the best solution to meet the overall requirements described within this RFP. Technical requirements described in this section should not be interpreted as ruling out any specific technology.

C.5.1 BROWSER-BASED SOLUTION

ETF desires a thin-client, browser-based solution. The browser based solution must use SSL for encrypting all connections between the browser and the host environment. ETF believes such a solution provides a number of advantages, including ease of installation and support, readiness for remote accessibility from ETF-sponsored off-site locations (when enabled with the appropriate security) – while still enabling a rich client interface as well as providing the option/alternative for telecommuting. There may be other special-purpose thick-client interfaces (e.g., scanning) that the vendor proposes as part of the solution.

Because ETF has no control over the browser platform that members and retirees select for use on their own computers, it is essential that any portion of the solution exposed to ETF customers via the web must support the current release and at least one previous version of the most popular browser based on ETF statistics on browser usage. The current prime browser candidates include Internet Explorer, Mozilla Firefox, Chrome and Safari. The solution should also fully support the use of mobile browsers for smartphones, tablets and other browser based smart devices. ETF desires browser-based (i.e. non-native) mobile applications that can be used by benefit recipients for self service requests.

As discussed above (and elsewhere in this RFP), ETF requires a browser-based application with any integrated sub-systems such as ECM or CRM also to be browser-based. Should the vendor propose any sub-system client interfaces that are not browser-based (e.g., scanner controller clients), they should provide a full discussion of the benefits accrued from the alternate approach and identify the downside of using a thin-client interface.

Include in this discussion browser-specific information for accessing the member portal vs. the BAS application for staff, employers, third-party administrators and benefit recipients.

C.5.2 SEPARATE PRODUCTION, STAGING, DEVELOPMENT, TEST, TRAINING, AND QUERY ENVIRONMENTS

In defining the hardware for the BAS solution, the vendor must specify at least two substantially similar physical environments (including redundant storage capability) that support the following distinct logical environments:

1. Production
2. Staging
3. Development
4. Test
5. Training
6. Query/Reporting

All of the specified environments will integrate with ETF's current technical environment. Together, these environments must support all the requirements as laid out in Section C.2.1 Nature of Desired Solution. The vendor should provide recommendations for how the environments will be implemented and explain why the recommended environment structure is preferred.

As currently envisioned, the two physical environments would be installed in the geographically separate locations noted in Section B.1.3.3.5, and configured in such a way that in the case of failure of the production environment at one location, ETF could (within the time frames described in Appendix E.18 Continuity of Operations (COOP) – Master Recovery Time Objectives Business Priorities) configure (if necessary) and restore a replacement production environment at the alternate environment. ETF's concern is that different application environments are needed to provide various functions without impacting each other. The introduction of virtual servers that run on shared hardware components is fine – indeed, preferable – as long as performance, stability, security, and data integrity are maintained across all environments.

1. **Production Environment:** The vendor must provide specifications for an environment that is logically separate from the other server components in ETF's infrastructure. Specifically, production server components must not reside on the same frame or physical virtual server in order to minimize outages due to upgrades or outages of systems/components that are not part of the production BAS solution. Although the vendor must recommend all necessary components, ETF reserves the right to consolidate certain functions within the existing ETF infrastructure if it is mutually decided that ETF's components meet the vendor's specifications. For example, if it is proposed that Web servers are required, and ETF and the vendor determine that adequate components exist in ETF's infrastructure, they can be substituted. Production environments need to be set up using redundant clusters for web server, application server etc. for high availability (refer to Section C.5.8.3) and scalability (refer to section C.5.8.2). The production database will need to have a replicate that is refreshed hourly/nightly/real-time; this may serve the need for a Query/Reporting environment.
2. **Staging Environment:** The vendor must provide specifications for a staging environment. This must substantially match the production environment and be logically separate from other server components in ETF's infrastructure. This environment will be used for load testing and performance testing of major releases of the BAS solution, and for implementation of emergency production fixes (which will subsequently be migrated into the production BAS solution and then merged with the other environments). One aspect of the staging environment that does not have to match the production environment is the currency of the data. The databases must be sized and configured the same as those in production, and ETF must have the ability to refresh the staging data (including ECM data) with production or other data as necessary.
3. **Development Environment:** The vendor must provide specifications for an environment that will be used by IT staff to develop and unit test BAS solution changes/implementations, upgrades to system software or hardware and any/all system or application configuration changes. This will serve as the initial integration testing environment for application changes, database changes, configuration changes, and any other changes that may affect the BAS solution – including upgrades of any key system software. Additionally, the IT staff must be able to refresh/reset data for development testing purposes.
4. **Test Environment:** The vendor must provide specifications for an environment that will be used by both IT and business staff to test BAS solution changes/implementations, upgrades to system software or hardware and any/all system or application configuration changes. This environment will be used for user acceptance testing. Additionally, business staff must be able to refresh/reset data for user testing purposes. The test environment must provide for importation of a full data set (e.g., all demographic data, transactions) and be able to do so a number of

times (as required) during the testing process. Further, the utility provided that accomplishes this must remain available to ETF staff after implementation of the new system. This test environment will also be used to evaluate wage and contribution reports submitted by employers as they adopt the new wage and contribution reporting format. The vendor should also provide options to provide for simultaneous testing of different major projects in line with regular maintenance activity (e.g. legislative mandates); these could take a significant amount of time to complete and require multiple testing environments. ETF would like to have the option to create additional testing environments at such times. If vendor has an alternative approach to address this scenario please discuss it. Also discuss any licensing or other costs based on adding environments.

5. **Training Environment:** The vendor must provide specifications for an environment that will be used to train users of the BAS solution (e.g., internal business staff, employers, external business partners). This also must be a multi-tiered environment to facilitate the training of external business partners. This environment must contain all components of the production BAS solution. ETF requires the flexibility to manage the migration of all approved production modifications to the BAS solution into the training environment. For example, routine updates to the BAS solution can be migrated to both the training and production environments concurrently, while major releases or modifications to the BAS solution may be migrated to the training environment prior to production migration in order to provide the opportunity for appropriate training of business staff and external partners. Additionally, the business staff must be able to easily refresh/reset data for new training sessions.

6. **Ad Hoc Query Requirements:** The vendor must provide an approach and details regarding ad-hoc query capabilities for business staff as defined in Section E.4.2.3 Reporting, Statistical Reporting, and Querying. This query capability must be built into the BAS solution and allow business staff to query live (or replicated) production data for reports and information without impacting the performance of any BAS solution real-time transactions or unattended processes.

The vendor's response must describe in detail how the above requirements will be met, including adequate hardware (including but not limited to processors, memory, and disk) and configuration and version management tools.

The vendor must propose a methodology and tools for maintaining the multiple environments (including data refresh and migration capabilities) on an ongoing basis after project completion. All environments should be sized according to the usage information as described in Section C.5.8.1 System Sizing and Performance Requirements. The vendor must also propose and provide appropriate documentation, end-user training, and operations procedures to enable ETF to effectively and efficiently maintain and utilize all environments.

As noted above, since it will be located in a separate geographical location, the second physical environment may also serve as the Disaster Recovery and or Business Continuity environment (see Section C.5.8.3). If the second physical environment is to serve in this capacity, depending on the Disaster Recovery Plan, one of the logical environments in that physical environment must be capable of (or quickly configurable such that it is capable of) supporting the same number of staff users, employers and external members as the production environment.

Furthermore the database(s) in the query environment must consist of one hundred percent (100%) of the actual data in the existing ETF production database. These databases are to be produced by a database copy, save and restore utility, or other utility or tool. That utility must remain available to ETF staff after implementation of the new system. In addition to supporting the testing of the new system upon its implementation, the objective of the utility and test database is to provide staff with the ability to test system enhancements and modifications (possibly several years) after cutover.

C.5.3 TECHNICAL ARCHITECTURE

The vendor should respond with a description of the high level architecture for the BAS solution, supported with diagrams depicting the interactions among the system components. The purpose of these diagrams is to ensure that ETF understands the essential design of the proposed solution and can determine that the design is generally consistent with the budget, scope, and capabilities represented in this RFP. Diagrams should include architectural views that reflect the application architecture, information architecture and related data models, and corresponding software and hardware architectures.

ETF's objective with respect to multi-task, typically unattended (batch) processing is that all processes described in the RFP and the proposal must be able to be run concurrently while the system continues to meet response time and elapsed job processing time requirements. Specifically, ETF requires that response time requirements (including self-service) must be met independent of how many ETF users are online, how many web-based users are online and independent of what processes or scripts are being run, such as wage and contribution edits, wage and contribution posting, interest posting, payroll running, etc.

The vendor should address at least the following architectural topics in their proposals:

- **Application architecture**. Include a discussion of the particular industry standards that are incorporated in the application architecture. If proprietary standards or interfaces are used please include the rationale and describe the advantage over current industry standards. ETF advocates the use of SOA and MVC patterns for web applications. Include the following in your discussion:
  - Modular Architecture (e.g. SOA, SCA)
  - Web Development standards (e.g. MVC and other design patterns)
  - Authentication (e.g. JSSE)
  - Authorization
  - Global Exception Management
  - Global Logging
- **Web Interface Architecture**. Include a discussion of the standard web technologies adopted in the development of the web user interface (e.g. JQuery, JavaScript, PHP, Ajax, Python, C#). Also discuss how the architecture provides the ability to customize and expand the system using these standard web technologies. Discuss how the web interface architecture handles web interface vulnerabilities i.e., cross-site scripting (XSS), SQL injection and remote code execution.
- **Information and data architecture**. Include a presentation of the data model. Discuss how the data model is dynamic and facilitates easy changes to the system.
- **Data Access layer**: Include a presentation of the data access layer used to interact with the Application and database. Also include a presentation of how the data access layer architecture ensures integrity across transactions and business processes.
- **Data Exchanges**. Include a discussion of the framework of the standards/ tools/protocols (e.g. XML, SFTP) used to exchange data across systems, applications, employers, third-party administrators and other government agencies using multiple platforms including the mainframe. All exchanges need to use secure means of transmission using SSL or encryption (e.g. SFTP). Discuss any proprietary product used for any such purpose.

- **Integration architecture**. Discuss the modularity of the application and the ease of implementing future advances in enabling technologies (e.g., ECM, business rules engines), as well as the use of specific named protocols, e.g., SOAP, HTTP, etc.
- **Systems management architecture**. Discuss system management with respect to the framework for efficient and effective management of ETF's information processing environment to support/enhance the productivity of its automated business systems. Discuss all features needed to manage, control, administer, maintain and support the system (e.g. automated deploys, builds, utilities, backups, operator involvement levels, performance monitoring and operational analysis).
- **Directory services and security architecture**. Describe compliance with secure sockets layer (SSL), lightweight directory access protocol (LDAP), multipurpose internet mail extensions (MIME), and industry-accepted standards for applicable uses of cryptography such as Advanced Encryption Standard, Data Encryption Standard or Triple DES. In this context, the solution must support the use of unique member IDs that are cross-referenced to encrypted Social Security numbers.
- **Platform architecture**. Include a discussion of the availability enabled through the required two logical (virtual) environments – see Section C.5.2 Separate Production, Staging, Development, Test, Training, and Query Environments.
- **Network architecture**. Discuss how the proposed solution will operate within the current ETF network architecture, network software and network management software as described in Section B.1.3 Legacy Business and Technical Environment
- **Accessibility architecture**. Include a discussion of compliance with accessibility standards identified on the following web-sites:

http://www.section508.gov/general

http://www.w3.org/tr/wai-webcontent

C.5.4 STANDARDS

The sections that follow provide the vendor with an overview of the standards that guide the vendor in their provision of a new BAS.

C.5.4.1 ETF'S HARDWARE AND SOFTWARE STANDARDS

As alluded to in Section B.1.3 Legacy Business and Technical Environment, ETF maintains a set of standards for the current legacy applications. However, for the BAS solution and other future systems, ETF is migrating to the standards for hardware and software listed in Table 31 below:

Table 31 Technical Reference Model (TRM)

SERVICE STANDARD	DESCRIPTION	STRATEGIC
PHYSICAL PLANT, NETWORKING AND STORAGE SERVICES The Physical Plant, Network and Storage Services Area defines the collection of technologies that are used to deliver basic physical infrastructure type services including access to the network and storage devices		
Disk Array (Primary Systems)	Disk storage for online distributed and mainframe systems.	n EMC VMax
Path Management	Technology that manages the connectivity from the server to the SAN.	n EMC PowerPath 5.5
Rack Mount Edge Switch	Switches that reside in blade chassis or between servers and SAN Directors for allowing connection to the SAN Fabric.	n McData 3232
SAN Core Switches	Switches that provide the primary routing and controlling functionality within the SAN Fabric.	n Cisco 9513 n Cisco 9506
SAN Edge Layer Switches	Switches that reside in blade chassis or between server and SAN Directors for allowing connection to the SAN Fabric.	n IBM 39Y9280
SAN Fabric Management	Software used to manage the fiber switches and SAN fabrics.	n Cisco Fabric Manager Server 5.0 n EMC EFCM
SAN Management	Software used to manage the end to end storage network from the disk arrays to the servers including discovering devices within the SAN, monitoring the health of the SAN, providing reporting on state of SAN, and provisioning storage to hosts.	n EMC Control Center 6.1 UB7 n EMC Unisphere n EMC Storage Configuration Advisor (SCA) n EMC Symmetrix Performance Analyzer (SPA) n EMC Symmetrix Management Console (SMC)
Backup Management	Backup services provide a means to store user and application files, operating system configurations, and database copies on separate computers from the primary location the data is stored.	n CommVault n Simpana Version 9
SAN Replication	Software that replicates data internally or externally between storage arrays	n

SERVICE STANDARD	DESCRIPTION	STRATEGIC
SERVER PLATFORM AND INFRASTRUCTURE The Server Platform and Infrastructure Service Area defines the collection of hardware and software technologies that are used to deliver services from different types of servers.		
Linux Server Hardware	Hardware devices used to run Linux server software.	n IBM HS12 (Intel Blade) – 1 CPU socket n Blade Server Chassis - IBM Blade Center H n IBM HS22 (Intel Blade) – 2 CPU Socket n Dell R710 – 2 CPU n Dell R805 (AMD Rack Mount) – 2 Socket n IBM HS21XM (Intel Blade) – 2 CPU Socket n Dell 6950 n Dell R620 – 2 CPU
Linux Server Hypervisor	The software that coordinates the low-level interaction between Linux virtual machines and the underlying physical computer hardware.	n VMWare vSphere (ESX/ESXi) 5.1
Windows Server Hardware - Datacenter	Hardware devices used to run Windows server software in the Datacenter.	n Blade Server Chassis - IBM Blade Center H n IBM HS12 (Intel Blade) – 1 CPU socket n IBM HS22 (Intel Blade) – 2 CPU socket n IBM HS21XM (Intel Blade) – 2 CPU socket n IBM LS42 (Intel Blade) – 4 CPU socket n Dell R805 (AMD Rack Mount) – 2 CPU Socket n Dell R710 – 2 Socket n Dell R620 – 2 CPU
Windows Server Hypervisor	The software that coordinates the low-level interaction between Windows virtual machines and the underlying physical computer hardware.	n VMWare vSphere (ESX/ESXi) 5.1
Linux Server Operating System	Defines the operating systems that are able to execute and run the Linux server operating system.	n Suse Linux Enterprise Server 11.x – 32 and 64 bit/390 and x390

SERVICE STANDARD	DESCRIPTION	STRATEGIC
Windows Server Clustering	Technology that allows a group of independent Windows servers working together as a single system to provide high availability of services for clients.	n Microsoft Windows 2008 R2 64 bit Cluster Services
Windows Server Operating System	Defines the operating systems that are able to run the Windows Server operating system.	n Windows 2008 R2 Enterprise - 64 bit
APPLICATION DELIVERY COMPONENT FRAMEWORK The Application Delivery Component Framework Service Area defines the collection of hardware and software technologies that are used to provide application services for different types of applications.		
Database Servers	A database management system (DBMS) is a software application providing management, administration, performance, and analysis tools for data.	n Oracle Database Enterprise Edition 11g R2 n DB2 10 (or later) n Microsoft SQL Server Enterprise Edition 2012 n SQL Server Developer 2012
Batch Servers	Servers that provide scheduling and execution environments for batch jobs.	n Control M Enterprise Server 7.0 n Control M Enterprise Manager 7.0 n Control M Server Agent 7.0
Primary Application Runtime Servers	In an n-tier application environment, a server that performs the business logic and data access functions of the application.	n Microsoft .NET Framework 3.0, 3.5, and 4.0 n Java - Websphere Application Server 7.0 n Java App Mgmt - Websphere Network Deployment Manager 7.0
Office Applications	Technologies that are used to perform basic office functions such as word processing, spreadsheet management, and presentation management.	n Microsoft Office SharePoint Designer 2007

The vendor's proposed solution may deviate from the standards listed above, but any such deviation must be accompanied by a justification for and discussion of the benefits of the proposed differences. The vendor is expected to use commercially supported, standard add-ins, components, and additional software. If the add-in is a minor component, the software will be made available to ETF, and its use fully justified by the vendor, that would be acceptable.

C.5.4.2 USER INTERFACE STANDARDS

The vendor should provide a discussion of how its solution meets the following user interface guidelines:

- The system interface is to be a browser-based (Including zero footprint for all users outside of the ETF firewall) client
- The system is to be fully integrated and all subsystems are to be seamlessly interfaced (e.g., no re-keying of a member identifier required when retrieving an imaged member record)
- The application shall have an intuitive look and feel and allow for easy navigation
- Screens should be presented in a way that limits the need to scroll. In cases where scrolling **is** necessary, page headers must remain intact (member, employer, or other record identification information) as well as identifying column or section headers on transaction grids. Each instance of horizontal scrolling must be explicitly noted in the design documents, the reason for it explained, and its use signed off on by the ETF Project Director
- Fields on a screen must support tabbing from one field to the next with the tab order of the fields presented in a logical order, including the focus when a screen is first presented to the user
- The application shall have a consistent style such that users encountering an operation for the first time should feel that the screen is "familiar" with common options and capabilities available in the same geographic location on the screen. Specifically the system must demonstrate:
  - Learnability (e.g., intuitive navigation) for all users; solutions which allow flexible, long-term, cost-effective customization of screens to promote the use of familiar, internal "ETF language" as opposed to solutions which force users to learn a new language
  - Efficiency of use (e.g., speed of navigation through the system, minimal "drill down" to get to the information that is needed, appropriate density of information on a screen to reduce number of screens to navigate, etc.)
  - Memorability, especially for casual users

  Since usability of the product is essential for the BAS solution, vendors should respond how their application's user interface will have an impact on ETF in the long-term. They should describe how it will affect, at a minimum, operating costs, staff training time estimates, and productivity. Actual metrics/statistics from previous projects may be provided. (The vendor must describe in their response just how they meet the above requirements. The description should include reference to any standards incorporated in the user interface design and/or testing such as the International Organization for Standardization's Guidance on Usability (ISO 9241-11).)
- All functionality exposed to members / retirees through the ETF web-site shall have a consistent look and feel and shall conform to ETF style standards and branding
- For any sub-system application utilities (e.g., image scanning) that are client / server based (and justified as such as required in Section C.5.1), the application must be able to be minimized. When minimizing the application, all subordinate or "children" windows / panels of the BAS must also be minimized. If a user is performing a specific work process, the user should be able to minimize this work, and all related windows / panels for that work should be minimized together – and maximized together at the appropriate time
- Interfaces must be ADA compliant. All web applications produced by the State of Wisconsin must conform to Section 508 of the Rehabilitation Act. (See http://www.section508.gov/)
- The application should conform to a recent W3C standard for HTML, such as HTML5 or a variant of XHTML
- The application/system/website must be universally designed to support all users

- Every control (edit box, check box, etc.) should be labeled on web pages and fillable forms for screen readers. (That is, the user must be able to access all application functionality without a requiring a mouse)
- Links should be uniquely labeled:
  - Two web site links with the same label on should take the user to the same web page
  - Link labels should not use the same prefix. (For example: Window-Eyes allows the user to bring up links, tables, lists, etc., with the press of a few letters)
- For screen readers, use skip to feature if there is a lot of navigation before the content on the webpage. (For example, www.leaderdog.org has a skip to main content and a skip to main navigation)
- Any validation done in client-side scripts should be replicated on the server-side (for security and in case user has client-side scripting disabled.)
- The user must be able to access all application functionality with a screen reader. The screen readers tested may include the current versions of JAWS, NVDA and Windows-Eyes (at least one screen reader 100% tested)
- Site must use a consistent color scheme (see general brand consistency principle in Section C.4.2)
- Form elements are instantly recognizable and consistently formatted or use default browser formatting only
- Pages within the application should scale attractively and maintain functionality from a mobile browser size (approximately 320 x 240 pixels) up to a large screen size (> 1600 x 1200 pixels.)
- The application has passed tests with accepted automated tools for testing accessibility, such as the WAVE toolbar. ETF must approve of any exceptions where tests do not pass.
- HTML tags are used for their semantic purpose. Tags are not “hacked” or used to do something for which they are not intended. For example, use the “h” (<h1>, <h2>, etc.) tags for headings instead of making the font bigger.
- The page should still be usable when either the text or the entire page is magnified to 200%.
- The application uses no HTML frames. (HTML frames are no longer supported in HTML5.)
- The site must have no CAPTCHAs or other user tests that are inaccessible to users who have disabilities.
- Page titles, headings, and links are given meaningful names to be easily discoverable to search engines. If two different links point to the same page, they should have the same text, and the title of that page should be (or closely resemble) that text.

Examples / samples demonstrating adherence to these standards are to be included in the vendor’s proposal.

C.5.4.3 DATA EXCHANGE STANDARDS

The solution must comply with the National Automated Clearing House Association (NACHA) requirements for transactions that are performed electronically (EFTs, ACHs, and others).

Health insurance data exchanged with health plans and pharmacy benefit managers must comply with HIPAA standards that mandate use of ANSI X.12 820, 834, and 999 transaction formats at the most recent standard revision levels.

ETF desires to use XML as a standard approach for most ad-hoc data exchanges. Vendors must describe their support for producing and consuming data in XML format.

All data containing personally-identifying information must be encrypted when in transit between systems over a network. Preferred transfer mechanisms are SSL encryption over HTTP and secure FTP via SSL.

The system should include an easily-configurable mechanism for adding new input/output file formats and transmission channels. In response to this requirement, vendors must provide a description of how such a new channel would be configured and implemented.

Vendors must describe their support for calling external web services and acting as a provider web service. ETF prefers a REST-ful, rather than SOAP approach to web services.

C.5.4.4 NAME AND ADDRESS

One of the goals of the project is to move to an environment which should allow for various presentation modes with regard to how data is extracted and formatted. ETF hastens to point out that this is a discussion of variety in presentation, not storage. The vendor is encouraged to use a single, standard (e.g., NCOA) format for storage of all names and addresses, measurements, currency amounts, dates, etc. All addresses must be stored in a format that supports capture, storage and presentation of all international postal addressing standards. Regardless of storage format, addresses must be capable of rendering for mailing purposes according to US Postal Service standards.

The application should not force a single “name” structure or “address” structure. The application must allow for varying structures based upon the business and user need for that information and the type of correspondence to be generated. As an example, if ETF elects to generate the following with a different name or address structure, the system should not limit this decision:

Table 32 Varying Name and Address Structures to be Accommodated

ITEM	NAME / ADDRESS STRUCTURE	EXAMPLE
Refund Check	FirstName LastName Address 1 City, State, Zip 5	JOHN DOE 111 STATE ST. ATLANTA, GA 87111
Pension Check	LastName, FirstName Address 1 City, State, Zip 5	Doe, John 111 State St. Atlanta, GA 87111
Estimate Letter	Title FirstName LastName Address 1 City, State Zip 5 + 4 Dear <first name>	Mr. John Doe 111 State St. Atlanta, GA 87111-2222 Dear John,

ITEM	NAME / ADDRESS STRUCTURE	EXAMPLE
USPS Mailing Address printed for all correspondence, estimate letter, etc. (no punctuation allowed and all caps)	Title FirstName LastName Address 1 City State Zip 5 + 4	MR. JOHN DOE 111 STATE ST ATLANTA GA 87111-2222
Retirement Form	Information (to be extracted as entered)	john doe 111 state street atlanta, ga 87111
Internal Reports	One Line only – report format	Doe, John Edwards, Steve Erickson, Sally

The application must support single-named individuals, i.e. those without both a first and a last name. The application should also support the use of 11-digit ZIP codes required for NCOA, CASS, and DPV list certification.

C.5.4.5 WORKFLOW SUB-SYSTEM

The vendor should provide a discussion of how its workflow sub-system conforms to the interface specifications of the Workflow Management Coalition (WfMC) and uses Business Process Execution Language (BPEL) to describe the orchestration of services within the business processes.

An example or sample demonstrating adherence to these standards is to be included in the vendor's proposal.

One of the main objectives of the workflow sub-system is to provide a foundation utilizing imaging and workflow technologies that enable ETF to facilitate any future re-engineering of ETF's business processes. In addition, automated processes should facilitate the manual and interactive efforts involved in completing business procedures while providing the capability for ETF staff to communicate, manage and process requests that satisfy ETF customers. The workflow engine should be able to meet all of the business requirements identified in Section E.4.3.1 Business Process Management / Workflow. Additionally, Appendix E.19 Workflow Sub-System Technical Foundation is provided to help the vendor confirm and or identify and discourse on any exceptions.

C.5.4.6 PARAMETERIZATION

Throughout the requirements discussed in this RFP, reference is made to various, user-administered, date-sensitive, system-wide, parametrically set numerical values and rules. A system administrator (not necessarily an IT staff member) must be able to perform their maintenance. Maintaining parameters must require **no** program code changes. No such data is to be hard coded in the system.

Vendors shall discuss in their proposal how they will meet the parameterization in the following cases:

- How system date can be changed (future or past dates) to accommodate testing with different-than-today "as-of" dates without changing source code

- Describe how to add/change various codes/related data elements and business rules without making any program code changes
- Provide an example for internal/external application integration (like configuration settings / database/ schema settings changes) without any program code changes
- Discuss the ability to manage and maintain these changes by non-IT staff.

The vendor must provide a detailed discussion as to how they will meet the parameterization requirement – related to data elements, values, and business rules. Further, a list of those data elements, values, and business rules which are supported by the above must be provided along with a list of those data elements, values, and business rules which are NOT supported by the above.

C.5.5 HARDWARE

Note that there is a mandatory Option covering Hosting in this RFP, the acceptance of which would change the requirements expressed below (and elsewhere in the RFP such as references to installation of hardware, coordination of LDAP with ETF, etc.) – see Section C.9.2.

C.5.5.1 HARDWARE (INTRODUCTION)

ETF will provide all of the hardware components that will be required to support the proposed solution, including an appropriately sized, fully redundant development, test, training, QA, and query environment for use during the phased implementation. The vendor will be responsible for specifying the number, configuration, and sizing of the required hardware. The vendor's technical response must include complete hardware specifications.

The vendor's recommended hardware configuration must support all RFP requirements and be capable of expansion to support future functionality as described in this RFP. ETF's current processing infrastructure includes workstations (desktop PCs) and associated equipment (e.g. printers), some of which may be suitable to support proposed solutions. The recommended configuration must include the appropriate number of servers and all other necessary hardware. All installed hardware must comply with ETF hardware standards as defined in Table 31. Vendors should explain proposals that do not comply with ETF hardware standards.

C.5.5.2 SERVERS

ETF will provide all of the vendor-specified server racks, cabling, servers, storage, and data backup hardware, operating system, data backup software, and server virtualization (VMWare) commodity software (see Table 33 Hardware and Software Purchase and Installation/Configuration Responsibilities). However, the vendor must provide detailed information on all servers required to implement the proposed solution, including number of servers, processor configurations and speeds, and memory. List server configurations for each environment including number of processors, memory, disk cache and networking requirements for each server. Vendors are cautioned to address all necessary equipment and other miscellaneous hardware requirements relating to servers

It is the vendor's responsibility in the proposal to recommend an appropriately sized platform to accommodate the specifications described in Section C.5.8.1 System Sizing and Performance Requirements.

All hardware should comply with ETF hardware standards as defined in Section C.5.4.1. The vendor should discuss how it proposes to effect server load balancing, scalability, resilience, and redundancy (note that ETF currently uses the F5 load balancer).

The vendor is reminded that, in developing its server specifications, the proposed solution must include an appropriately sized, fully redundant development, test, training, QA, and query environment for use during the phased implementation. See Section C.5.2 Separate Production, Staging, Development, Test, Training, and Query Environments.

C.5.5.3 PERSONAL COMPUTING DEVICES AND OTHER INTERACTIVE DEVICES

The vendor is to provide minimum detailed information on all personal computing devices (e.g., desktop PCs, laptops, PDAs, etc.) required to support the proposed solution (noting that ETF currently plans to make no changes to its current desktop configurations unless the vendor points out a serious deficiency). Include processor speeds, memory and disk cache configuration. For each device, the vendor should indicate whether the requirement can be satisfied by existing ETF equipment as is, or if existing ETF equipment will need to be upgraded (include all upgrade information) or replaced. Please see Section B.1.3.3.2.3 for quantities and specifications of the configuration of ETF's existing desktops. Vendors are to differentiate PC/laptop configuration requirements for using the BAS from those required by developers.

ETF believes that its current desktop PCs are adequate to support the new system. Vendors are expected to review the current ETF technical environment (see Section B.1.3.3.2.3) to confirm this belief or to recommend changes and upgrades as necessary.

Benefit recipient access to the system via mobile devices (smartphones and tablet computers) is required at some point within the lifetime of the proposed system. Our strong preference is to offer this access on initial implementation. The vendor must describe current support for these devices and identify any system features or functions that may be significantly changed when the system is accessed from such devices. At a minimum, the vendor should include a "product roadmap" detailing plans for supporting currently-available devices. This roadmap should also describe how the proposed system will be adapted to support new emerging technologies. Note as well the requirements described in C.9.5 Mobile Computing Application(s)

C.5.5.4 STORAGE

ETF will provide all of the server, storage, and data backup hardware, operating system, server racks, cabling, data backup software, and server virtualization software (VMWare) software that is specified by the vendor in their Technical Proposal. The vendor must specify the storage configurations that will support the proposed solution. A minimum of RAID 5 must be proposed. ETF requires use of magnetic (rather than optical) storage for the images in the ECM system, particularly if they are converted from the current mainframe-based Content Manager environment.

As noted, ETF currently has an archive of 17 million images that is sized for 743 GB of magnetic storage in Content Manager on the mainframe. See Section B.1.3.6 for a discussion of the current imaging system and Sections C.4.7.3 and C.4.7.4 and Option C.9.4 for the requirements associated with the provision of a content management solution in the BAS solution. We require that the successful vendor provide for the storage of any electronic reports generated in the new BAS solution in a form such that they may be easily retrieved and printed

As noted, ETF currently has member, employer, and other data stored that is sized for 125 GB of storage in DB2 on the mainframe. See Section B.1.3.3.2.2 for a discussion of the current RDBMS system.

In addition, ETF's retrieval requirements specify that retrieval of electronic document-based member and employer information should be retrievable as the result of a single application-initiated query.

Thus, an ETF staff member will, with minimal input, be presented with a list of all document-based member and employer data whether that information was put into the archive via imaging or another input source. Vendors must discuss their document archive strategy that makes this possible.

The vendor should discuss how, within the proposed configuration, it plans to effect scalability, resilience, and redundancy (e.g. database replication, SAN replication, or other).

C.5.5.5 PRINTERS AND PERIPHERAL EQUIPMENT

The vendor's hardware specifications must provide sufficient printing capability to support the printing of all reports and checks generated by the system as well as other in-house, system-generated printing needs such as member correspondence. Those specifications should take advantage of the current inventory of ETF's printers and specify only those additional printers that are deemed necessary. To assist the vendor in that determination, ETF provided a table in Section B.1.3.3.1 of approximate system-generated print volumes which must be supported by the existing ETF printers until the new BAS solution is put into service. The vendor's proposal must specify how their proposed solution will meet these requirements.

ETF's current processing infrastructure includes LAN-based printing and associated equipment and software, some of which may be suitable to support proposed solutions. For an inventory of existing printers see Appendix E.8. High-volume printing (i.e., print runs that exceed 200 pages) is often performed by transmitting PDF output to the Wisconsin DOA/DET print center. Use of that high-volume print facility requires the ability to generate PDF documents in files not to exceed 5,000 individual documents.

C.5.6 SOFTWARE

Note that there is a mandatory Option covering Hosting in this RFP, the acceptance of which would change the requirements expressed below – see Section C.9.2.

C.5.6.1 OVERALL SOFTWARE REQUIREMENTS

The vendor's proposed solution must include NO software or hardware locks, traps, dongle keys, or similar security measures that would in any way deny ETF full and complete access. The proposal must include a complete inventory of all software complete with specifications and licensing fees.

The source code for any software (be it the customized BAS application, middleware, a code generator, a specialized I/O routine, or any similar or related item) which is developed by the contractor, or an affiliate company that is 20% or more owned by the contractor, and used in the new system must be delivered to ETF. The vendor must agree to deliver application source code with the delivery of each functional rollout phase during the project. ETF's acceptance of a phase will be contingent upon this requirement being met. In addition, once the first functional rollout phase has been delivered, source code updates must be delivered prior to installation of any system update. Source code for linkages to/from the system (which may be developed by a sub-contractor) is similarly to be provided. It is to be updated and delivered to ETF throughout the duration of the project.

In addition, the source code for any third party software not covered by the preceding paragraph that is delivered and/or licensed to ETF as part of the new solution must be escrowed on ETF's behalf. ETF is agreeable to BAS source code being provided under a non-exclusive license, including appropriate intellectual property protections for the vendor; however ETF does require the source

code. The vendor must indicate in their response their acceptance of the requirements in this section.

Specific to operating system, middleware, database or other software on which the BAS depends, describe your approach to maintaining compatibility with new versions of underlying software. Describe how upgrades would be handled during the course of a multi-year implementation project. Identify any costs associated with such upgrades in the Cost Proposal.

C.5.6.2 BAS APPLICATION SOFTWARE

The BAS application must be described with respect to the following attributes:

- Language
- RDBMS
- Transaction management software
- Development and deployment environment
- Screen generator
- Report generator / reporting features
- Middleware
- Any third party tools and frameworks integrated into the application
- Application subsystems or capabilities that can be exposed as reusable services
- Application ecosystem, i.e. any surrounding software on which the application depends.

In addition to the above, for each application component proposed, the vendor must answer the following questions:

- Does the application make use of any "middleware", i.e., any proprietary or internally-developed layer to permit access to and use of interchangeable relational databases? If so, what is it and is it commercially available?
- What user interface(s) is utilized?
- What application development tools are used? Do tools define the applications? Are tools used for engineering, developing, and/or maintaining the applications?
- What source languages are utilized for the application? If multiple languages are used, describe each and what percent of the entire system is each written in?
- Confirm that ALL application source code (including but not limited to any middleware, workflow software, or imaging software) will be delivered to ETF
- What data base management system is used? Is it relational? Was the system originally designed with this data base management system or was it retrofitted or back fitted to it? If multiple DBMS may be used with the system, the vendor should state which DBMS they use for internal development
- What operating system and version is required on the servers? Clients?
- Confirm that the solution will support Internet Explorer, Firefox Mozilla, Apple Safari and Chrome browsers, including at least the current version and the immediately preceding major version of

all products. Specify all browser versions supported. Indicate your strategy and level of commitment to supporting new/emerging browser standards and versions

- Provide a brief history of the application. The narrative should include all major events from the original version to present, including events such as original environment, any re-engineering (and why), introduction of an RDBMS, support for a browser-based interface, etc.
- Confirm that all modifications of data on the database shall be date/time stamped along with an identifier of what logical user-id performed the modification or initiated the unattended process that actually modified the database
- For purposes of testing and attempts to reproduce production problems, the software should be capable of being operated with a user-configurable "as-of date" without resetting the underlying operating system date used by other applications. Describe support for this capability
- Clearly describe the system software architecture. Of particular interest is how the BAS adheres to Service-Oriented Architecture (SOA) principles and the support of underlying SOA technologies such as Web Services.

Vendors are required to include as attachments to their proposals the following:

- A comprehensive list of all documentation (including but not limited to user, system, and operational) delivered with their systems. Include samples (which will be returned if so requested) of all documentation products for evaluation
- Screen "snapshots," windows, and screens from the system they have implemented that was most similar to the one being sought by ETF
- A list of all standard reports supplied with the system being proposed, classified as management, operational, or financial. Appropriate samples must be included in the vendor's proposal. Of particular interest is a sample of the member's annual statement produced by the proposed system.

The vendor will provide all upgrades and patches to application software over the course of the contract. In addition, ETF technical staff will be trained in the application and installation of such patches and upgrades. Documentation and manual updates, as well as letters of transmittal, will always accompany such patches and upgrades.

C.5.6.3 OFFSHORE[7] DEVELOPMENT

ETF is aware that some retirement system solution providers have turned to offshore development facilities to achieve economies in costs related to the delivery of various aspects of their solutions and thus enhance their competitive position in the marketplace. However, based on our assessment of the risks and inconvenience (to both the vendor and to ETF), ETF is concerned about the risk associated with this approach. ETF believes that any savings in hourly rates incurred through use of an offshore facility will be more than offset by difficulties in related areas of the effort, especially project team communication and responsiveness.

Note that there is a mandatory Option covering Offshore Development in this RFP, the acceptance of which would change the requirements expressed above – see Section C.9.1.

[7] For the remainder of this section, the term offshore shall include all countries not part of the fifty United States and Canada.

C.5.6.4 COMMODITY SOFTWARE INTRODUCTION

The solution should adhere to ETF's preferred server environments, including the following:

- Windows Server 2008 R2 or newer
- *NIX (Red Hat Linux 6+ or SUSE 11+ preferred)

All installed software must comply with ETF standards as defined in C.5.4.1.

Vendors may propose a different operating environment but will have to demonstrate its interoperability with ETF's preferred environment. In addition, the solution must support all other platform architecture guidelines and standards as specified in this RFP.

As noted in the standards, ETF has no bias for or against Java, .Net or any other development platform or language. However, we are biased towards a solution that can be demonstrated to be a mainstream architecture. With that in mind, the solution must make effective use of reusable components in order to improve flexibility, scalability and extensibility into applications.

The vendor is required to propose and provide any of the necessary "commodity" software (such as database management software, imaging, workflow, Enterprise Content Management (ECM) software, and tools) that will not be supplied by ETF (see Table 33 Hardware and Software Purchase and Installation/Configuration Responsibilities) – both new and upgrades – that will be required to support the proposed solution. The vendor will be responsible for installing, configuring, and testing the required software on the hardware already installed by the vendor at the ETF-specified location.

The software products specified must support all RFP requirements. They must be capable of being upgraded to support future functionality as described in this RFP. The vendor must propose the appropriate number of copies of / licenses for each software product required to implement the proposed solution and indicate the type of license, e.g., corporate, perpetual.

Should the commodity software proposed by the vendor (or the version specified or the number of copies / licenses indicated) prove inadequate to support the new solution – in terms of functionality, performance, availability, or scalability – it will be the vendor's responsibility to acquire such additional software as may be necessary to bring the solution into compliance with RFP requirements at no additional cost to ETF. In such a situation, the vendor will also be responsible for installing and configuring the additional software. Any project delays that result from the need for the vendor to expand / replace commodity software will be the responsibility of the vendor. No change orders will be approved by ETF relating to such a situation.

C.5.6.4.1 OPERATING SYSTEM

ETF will provide and support the operating systems needed. Operating system level software to be included in the new solution must be consistent with the platform architecture discussion (see Section C.5.3) and described by the vendor in the proposal, including version / release information and the vendor's rationale for selecting each proposed product.

Each platform's operating system must be a stable, proven operating system. While it is not mandatory that all platforms use the same operating system, seamless interfaces between each must be provided. Further, the number of different operating systems to be maintained and supported by ETF will be a significant factor in evaluating the proposals, with fewer (preferably one) operating system(s) much preferred.

C.5.6.4.2 LDAP AUTHENTICATION/AUTHORIZATION

ETF's current LDAP infrastructure uses an ETF-supported Microsoft Active Directory for staff and employer access to ETF systems and uses the Wisconsin Access Management System (WAMS) (based on Novell's LDAP product, eDirectory, and supported by DET) for member access to systems.

For the BAS, ETF expects to use DET supported Tools4Ever with Microsoft Active Directory for staff access. For employer, TPA, and member access, ETF expects to use the DET-supported WAMS running on Novell's eDirectory. The vendor's application must be able to support both LDAPs simultaneously

The vendor should describe how accounts, authentication, and authorization for server administration interact with Active Directory or other directory products and interconnects as appropriate.

C.5.6.4.3 RELATIONAL DATABASE MANAGEMENT SOFTWARE

The proposed solution must employ a relational database management system (RDBMS) within its data storage architecture. The proposed solution must use the latest version of one of the following database platforms:

- Microsoft SQL Server
- Oracle Database
- IBM DB2[8].

Database management capabilities must be included in the vendor's proposal. The vendor's solution must be based on current, proven database technology and be able to store all data elements using logical views to provide varying associations of data elements. Database management capabilities must include comprehensive data dictionaries (delivered by the vendor on a phase-by-phase basis) and data models that can be used as reference by end-users as well as programmer/analysts. Also required is the ability to cross-reference fields and files, sorted and/or indexed by a variety of keys as well as all tables (rows and columns). Version and release must be specified.

Vendors shall provide in their proposals the data dictionary, data structure – physical and logical data models (including table descriptions, field or column definitions and types, defined keys, value domains, etc.) utilized in the solution being proposed. Further, they must discuss what features are available in both their particular design and their selected database management system to avoid redundant data. The degree of redundant data must be discussed.

Vendors must provide a tool or tools that provide the ability to selectively purge (and save) database records that meet data-driven selection parameters; a corresponding restore capability is also required. The integrity of the data and the database must be automatically maintained during both deletion and restoration.

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[8] If IBM DB2 for the mainframe is selected as the preferred platform, the proposed solution must be compatible with the version running on the State of Wisconsin enterprise mainframe managed by the Department of Administration Division of Enterprise Technology (DOA/DET). The mainframe DB2 environment is running v10. For such a proposal, ETF will add ETF's current annual operating costs for mainframe DB2 to the vendor's cost proposal. DB2 charges for 2012 (including both production and development) were $1,656,057.

C.5.6.5 SYSTEM SOFTWARE TOOLS

System tools to be included in the proposed solution must include, but not be limited to:

1. Performance measurement / capacity planning tools – on several discrete levels:
   - The vendor must include tools that will record on-going performance information without significant impact on system performance. System response time must be maintained while such tools are in use. These tools must also include reporting capabilities to show trends of all significant system resources over time, reflecting history by date and by time of day, as well as the capability to make projections based on cumulative history
   - The vendor must also provide real-time performance analysis tools that can be used to trouble-shoot performance problems as they occur. System response time must be maintained while such tools are in use.
2. Operations support tools – the vendor must include a variety of tools that will assist and enhance computer operations, including:
   - Job scheduler - capable of automatically initiating jobs based on time of day, day of week, or calendar date and/or the successful completion of "predecessor" events, to monitor batch job execution, and to support batch job failure notification. ETF currently uses mainframe and distributed Control-M software to coordinate interdependent processes across disparate organizations, servers, and applications; any proposed job scheduling component must interoperate with Distributed Control-M.
   - Export/import capabilities that support straightforward transfer of files (and extracts of files) among the various hardware components, e.g., XML or comma delimited ASCII files
   - Report generator or conversion tools capable of automatically converting reports to PDF format.

In their response, vendors are cautioned to include all ancillary software required by the proposed solution.

C.5.6.5.1 DEVELOPMENT TOOLS

The vendor must include a full suite of development and maintenance tools that will enhance ETF programmer productivity in terms of maintaining and updating vendor-supplied applications and in developing new applications. The vendor must describe its proposed solution for each tool and platform. These tools must at a minimum include all tools used by the vendor in the development, enhancement, and maintenance of its software, including any:

- Test script / test case generator
- Test drivers
- Middleware
- Software configuration management software
- Version control software
- Code repository search tool
- Log search tool
- Automated build/deployment software
- Problem incident reporting, tracking, and management tools

- Data or process modeling software
- "HELP" generation software
- Windows and/or browser application development software tools
- Compilers for software development (and associated tools)
- Query and report generation tools/packages
- All memory and allocation analysis software used in system development.
- A tool or tools that provide the ability to selectively copy (or delete and save) database records that meet data-driven selection parameters. A corresponding restore capability for deleted data is also required. The integrity of the data and the database must be automatically maintained during both the delete and restore processes.
- ETF desires that the data copy facility will allow a developer to extract from the production database into a test database data sufficient to reproduce and troubleshoot reported problems. For example, by specifying a member ID, this facility would extract all data associated with that member into a completely separate database or database schema. The copy process should obfuscate sensitive data (e.g. Social Security number) in the destination schema. The vendor should describe any support for this or similar functionality.
- As part of the response to this section the vendor must specify the complete set of development tools required to allow an ETF programmer to participate in development and maintenance of all aspects of the BAS.

C.5.6.5.2 PROGRAMMER AND USER PRODUCTIVITY TOOLS

The following productivity tools should be included in the proposed solution:

- Mature program development and maintenance tools.
- Ability to auto-capture errors in production and auto log to the incident management tool.
- Media (including but not limited to magnetic disk) space management tools that present graphical information as to current use of storage media as well as notifying technical services when certain device and system-wide thresholds are exceeded
- Tools necessary to "reorganize" files (based on the file system technology)
- The Ad Hoc Query tool described in Section E.4.2.3, §33.
- Tools to extract and obfuscate data from production or other environments for member(s)/employer(s), to enable testing specific scenarios or business rules without use of privacy-sensitive data. The ability to reload datasets multiple times as required for testing.
- Developers' use of sliced databases (schemas) to enable testing within their own dataset.

All of the above are to be installed and operational, customized to ETF's configuration and tested by the contractor and by ETF technical and user staff, and accepted by them at the time of the initial installation of the hardware and software. At that time the vendor will provide informal and formal training on their use so that ETF staff members have the opportunity to work and become familiar with the tools long before the first implementation phase of the solution.

C.5.6.6 SECURITY AND CONTROLS

The proposed solution must implement security and directory services in such a manner that its information/data infrastructure is protected and accessible, while at the same time its functionality is unimpeded and its business services are readily available. The proposed solution must permit use of a comprehensive system that provides public-key encryption and digital signature services also known as a public-key infrastructure (PKI). Encryption pertains as follows:

- All web traffic should occur over HTTPS
- The certificate authority and security certificates used in the PKI will be determined by ETF
- Encryption schemes and cryptographic algorithms will be reviewed and approved by ETF.

The successful vendor will not be permitted to retain possession of the "master encryption keys" of any encryption system they implement or utilize with their proposed solution.

Finally, because security control impacts the entire enterprise, assigned non-technical, business staff must be able to administer, verify, and sustain its implementation.

Prior to the authorization of the new system, the following controls must be in place:

- Adherence to OWASP security principles (http://www.owasp.org)
- Relevant risks in Risk Assessment are mitigated
- Contingency plans are developed and have been tested
- Security Plan is developed, updated and reviewed
- System meets all applicable laws, policies, guidelines and standards.

The system must be designed to control and limit access via logins and/or other security mechanisms. Access control, and integrated security in general, must be managed by role rather than by authorizing a specific individual.

The principle of least privilege must be in effect. Critical functions must be divided among different roles so that no one individual has all of the necessary authority or information that could result in fraudulent activity.

The BAS solution must provide the capability for the system administrator to generate a status report detailing the values of all configurable security parameters.

Throughout the system, the application security administrator will configure access and restrictions based on individual user roles. At a minimum, the BAS solution must provide the following controls:

- Transaction access
- Process access
- Transaction approval process
- Workstation location access
- Workstation time restriction
- Restriction of user access to operating system, system files and utilities
- Restriction of user access to security files and resources
- Prevention of users from elevating their privileges or managing their own access to resources
- Restriction of access by job function

- Restriction of access by organizational unit.

In terms of the types of access that may be granted, at a minimum, create, read, update, execute, and/or delete access must be available,

The vendor must populate security repositories and associate them and their roles into the system using an appropriate security administration tool, and the vendor must provide written affirmation certifying that it has done so prior to any User Testing or production activities. The vendor must work closely with ETF staff to define the roles necessary to perform all required business functions as well as management of roles (deletion, changing security profiles, addition of new roles, etc.) after the original set is created.

The solution must provide support for LDAP and SSO authentication. The vendor must provide a description of the method(s) of authentication provided and how that authentication appears to the user. The solution must provide support for multi-factor authentication for BAS access.

The system must provide an advisory warning message on the login screen regarding authorized and unauthorized use of ETF's business information and the possible consequences of such violations.

Upon authorization of the login user name and password, the system must display, for that user name, the date and time of the last successful login and the number of unsuccessful attempts to access the system since the last successful system access.

The system must permit multiple, simultaneous logins by a single user (and it should log all logins, indicating that the second – or more – login is a multiple). This access must also be configurable by user and by user groups with the ability to limit access to a single logon or to disable any logon by any or all users.

The user will be automatically logged out of the system after an application security administrator-defined period of idle time. The system must provide a parameter-configured notification based on a configurable time period prior to a time out. Whether the user logs off or the system logs the user off after the idle time threshold has been exceeded, the system must then ensure that all objects created for the user at the back-end are destroyed and that the system exits cleanly.

After multiple unsuccessful login attempts, the system must:

- Disable the user account for a period of time previously defined by the security administrator
- Record the event for audit (see Appendix E.14 ETF Security Policy – Logging and Appendix E.15 ETF Security Policy – Auditing)
- Provide an automated account recovery process

Strong passwords should be supported and reinforce LDAP capabilities, as well as being configurable. If the user forgets his password, the system should supply a password Q&A to assist in remembering – and if that fails as well, the system administrator must be able to reset the password to a temporary value. The system must disable any account with a temporary password that is more than a configurable number of days old.

The system must provide tools for the system administrator to manage user accounts. This will include such tasks as resetting a password and activating, suspending, or deleting a user account. These functions must be limited to only the system administrator or other well-defined privileged users.

The system must have the capability to suspend or activate a user account. Below are examples of <u>some</u> reasons this may occur:

- Account is locked out after password is entered incorrectly more than three (a configurable parameter) times
- If the user temporarily is not entitled to access
- The account is suspended by a systems administrator, for example if a security breach is suspected
- The account has been inactive for an extended period of time (a configurable parameter).

The system must provide the capability to ensure that relevant information about actions performed by users, including query activity, can be linked to the user in question with unique identifying details, so that the user can be held accountable. The system must maintain information sufficient for after-the-fact investigation of loss or impropriety and must provide individual user accountability for all security-relevant events. The system must protect this information from unauthorized access or modification.

The system must provide tools for the system administrator to monitor the activities of specific terminals or network addresses in real time.

The system level log must allow review of key security events, including:

- Logon and logoff of users, including failed logins
- Change or reset of passwords
- Creation or deletion of users
- Amendment of user rights
- Suspension or activation of user accounts.

The system administrator must have the capability to independently and selectively review the actions of any one or more users, including privileged users, based on individual user identity.

The system must provide the capability to log the occurrence or accumulation of security-relevant events that may indicate an imminent security violation. These logs will be forwarded to ETF's SIEM for security analysis and reporting.

The system must provide an interface for the Application Security Administrator to manage user accounts. The interface will include such tasks as resetting a password and activating, suspending or deleting a user account. These functions must be limited to only the Security Administrator. Support for delegated security administration should be included in the solution. The ability to only administer a specified set of employees and only specific roles should be part of the delegated administration features.

There must be a reporting mechanism that allows security administrator(s) the ability to report the current security access for any individual or group of individuals by role for an on-going (annual) security review or on demand. One should be able to select an individual or a group of individuals, by name, role, organizational unit, or privilege to generate such a report.

In addition, ETF should be able to select a role and generate a report displaying all activities that role can perform, including screens accessed. This should be an easy to understand report the Security Administrator can use to help in providing user authorization. It should be easy to understand the mapping of security roles and permissions to screens.

Finally, as the proposed system is to be browser-based for both internal and external users, the vendor must discuss its solution's approach to safeguarding personal and private information from fraudulent efforts to gain access to such information. The vendor must provide methods to encrypt,

redact or otherwise secure such information with respect to its level of confidentiality/importance and not only prevent unauthorized access but alert authorities of access attempts. That discussion must consider ETF categorization of data in the following levels, including consideration of ETF's data classification policy (see Appendix E.16 ETF Security Policy – Data Classification):

- **Public** – Information that is not protected or private. Information classified as public has no state, federal, or international legal restrictions on access. Additionally, risk of unintended disclosure would be of low to no risk to ETF. There may occasionally be a policy reason to restrict certain access. Examples of public data include effective interest rates, insurance premiums, mortality rates, unfunded liability balances, benefit estimate wait times
- **Protected** – Information that can be viewed and used by ETF employees and authorized third parties for official business purposes. Disclosure of this information to unauthorized parties carries some risk to participants and ETF, both financial and reputational. Examples of protected data include member address, annual earnings, creditable service, benefit rights codes, employment information, controlled correspondence
- **Private** - Information restricted to a specific subset of ETF employees and authorized third parties based on policies, statutes or state or federal regulations. This includes information that may be provided to the subject of the information or an authorized third party. Information for which an Information Owner has determined access will be classified as private. Unintended disclosure could require mitigation, reporting, possible fines, harm to the agency, participants and other third-parties. Information that is classified as private if unintentionally disclosed would carry significant risk to ETF. Examples include: medical record documents, social security number, financial account numbers, any information or data that is unique to, assigned to, or belongs to an individual and that is intended to be used to access services, funds, or benefits of any kind to which the individual is entitled. Any information that can be associated with a particular individual through one or more identifiers.

Throughout the above discussion, ETF has used language that assumes the position of an Application Security Administrator, as opposed to a Systems Administrator and/or an Application Administrator. ETF requests that the vendor provide a discussion of the names and duties of different roles that vendors have encountered in other client installations as well as a discussion of the strengths and weakness of the different structures.

C.5.7 INSTALLATION AND CONFIGURATION

Note that there is a mandatory Option covering Hosting in this RFP, the acceptance of which would change the requirements expressed below – see Section C.9.2.

ETF will host the commodity hardware and software (infrastructure) for the BAS solution in a data center of their choice (either ETF's data center or at the state-provided data center under contract with the Department of Administration's Division of Enterprise Technology – see Section B.1.3.3.5). The vendor must provide hardware and software requirements for the initial phase of the project and the growth potential throughout the project. Those requirements include power needs (kVA), cooling requirements, rack space, floor space, networking, battery requirements at the potential full load, and data/system backup footprints.

In opting to utilize the State's data center, ETF will use DET's "Infrastructure as a Service" offering. All of the requirements described in Section C.5 Technical Requirements assume such a utilization. Through this service, DET provides at least the following services:

1. Data center facility

2. Environmentals (heating, cooling, power, UPS, rack equipment, generator, etc.)
3. Associated services (including site security)
4. Server hardware
5. Operating system
6. Data backup/recovery
7. Virtual server software (VMWare)
8. Virus checking
9. Firewall
10. Intrusion detection, VPNs, and other security optional services are also available.

A complete list of the components provided by ETF, by the vendor, and to be negotiated as a result of options or provisions in the vendor proposal appears below in Table 33:

Table 33 Hardware and Software Purchase and Installation/Configuration Responsibilities

ETF	TO BE DETERMINED	VENDOR
Hardware	Document Management	BAS Application
Database Software (if DB2)		Database Software (if Oracle or SQL Server)
SAN		Database Design – Data Model
Server Virtualization		Web (HTTP) Server
Server Operating System, w/ Patch Management		Application Server Software
Data Center LAN, DNS		Middleware
Server Load Balancing		Imaging
Server Clustering		Workflow
Data Backup/Restore		BAS Reporting
Failover to 2nd Site (Data & Server)		Helpdesk Software*
WAN		Web Application Firewall*
LDAP - BAS, FMIS		BAS LDAP - Authentication/ Authorization
Server Virus Checking		Code Repository
Data Center Firewall, VPN, Intrusion Detection, etc.		Developer Toolkit (IDE) - Configuration
Batch Scheduling – Enterprise		Application Build Tools
FAX Server		
Email Server		
Data Warehouse		

ETF	TO BE DETERMINED	VENDOR
Automated Call Distribution (CCA)		
SharePoint		
Print Services (BAS)		
ETF Office LAN		
LDAP - ETF		
File Services		
Print Services - Local		
Batch Scheduling		
Security Information & Event Management		
Vulnerability Management		
IVR		
Office Application Suite		
Email User Administration		
Data Profiling / Migration Database Server		

The vendor must commit to be responsible for providing, and must (in the cost proposal) propose ALL costs associated with, the following installation services:

- Inventorying, installation, and configuration of all software and ensuring that all the software is fully operational
- Providing a schematic / network diagram of all platforms, servers, network equipment, client PCs, printers, and similar or related items, which will be developed and maintained using an automated tool or package. The tool will be delivered to ETF and maintained by the vendor until final acceptance. The network diagram will be updated by the vendor from the time of installation of the infrastructure though final acceptance of the new system no less frequently than every 90 days or whenever major new hardware or software changes occur. The vendor shall include a sample of similarly prepared schematics with its proposal
- Establishing the appropriate security level and access permissions / restrictions for each user on the system based on information obtained from ETF technical staff. The vendor is also responsible for establishing system security measures necessary to protect operations against unauthorized internal or external access into the communications, servers/platforms or operating system infrastructure
- Establishing a menu-driven GUI interface, in coordination with ETF technical staff, with standard scripts, icons, APIs, and similar or related items for each user which will provide user access to the proposed software with full printing capabilities and the capability to route print from any workstation to any printer attached to the network, including remote users and remote printers. For example, a benefits counselor logged into the system from a remote location should be able

to print a benefits estimate on a printer attached to his or her laptop computer or other remote device

- Documenting script, API, icon, and other set-ups.

The successful vendor shall incorporate into its schedule 15 business days at the end of the hardware and commodity software installation period for ETF's review, testing and acceptance of the hardware and commodity software. During that period ETF will assess installation and configuration of the system hardware, cabling, and related components, as well as the commodity software. Prior to acceptance, the successful vendor shall evidence that all commodity software products have been registered with the commodity software publishers under ETF's name as owner.

Vendors must understand and agree to complete installation, configuration, tuning, and similar or related activities during evening and weekend hours as needed to ensure there will be a minimum of "downtime" of ETF's normal production activity.

Should the vendor, in responding to the above sections, have proposed the re-use of any of ETF's current hardware or software, they must discuss in their proposal, a plan that details the migration of the usage of that hard-/software from the legacy operations to the BAS.

The vendor must state in its cost proposal its hourly rate for customization of scripts, APIs, software, and similar or related items over and above that required in this RFP.

C.5.8 OPERATIONAL REQUIREMENTS

Given ETF's expectations of greatly increased member self-service via Web-browsers and the like, ETF believes that the application architecture must support member Web-based access near 24 hours a day, 7 days a week, except during those times specifically scheduled (by ETF) for system maintenance, backup and downtime.

C.5.8.1 SYSTEM SIZING AND PERFORMANCE REQUIREMENTS

The vendor must specify the configuration of hardware and software platforms on which the new solution will be implemented, as well as their configurations.

It is the vendor's responsibility to recommend an appropriately sized solution to accommodate the following:

Table 34 Solution Sizing

TYPE OF ENVIRONMENT	POTENTIAL ETF USERS (WHETHER ON-SITE OR OFF-SITE, I.E., REMOTE LOCATIONS)	POTENTIAL EXTERNAL USERS (EMPLOYERS AND OTHER BUSINESS PARTNERS)	POTENTIAL EXTERNAL USERS (ACTIVE+INACTIVE MEMBERS, PAYROLL BENEFIT RECIPIENTS)
Production	300	3,000	430,000
Staging	300	3,000	430,000
Development, testing, training, other	30	600	100

In the table above, note that "potential users" means the count of users that could possibly, if appropriately authorized, log in to the system. Also, as discussed in Section B.1.3.4 Employer Reporting Sub-System (ERS), employers and other business partners may be logging into the system, at a minimum, on a weekly, bi-weekly, or monthly basis according to their payroll frequencies. **It is up to the vendor to appropriately size the solution to accommodate the actual number of users, based on the potential number of users listed above along with the likelihood of concurrent usage.**

The vendor should consider current workload and resources as described in Section B.1.3.3 General Benefits Administration when projecting appropriate sizing. The proposed configuration should support a strategy to dynamically manage traffic across servers to obtain appropriate load balancing. Further, the vendor must assume a five percent annual increase in the number of potential users.

ETF's objective with respect to multi-task, typically unattended processing is simple – all processes described in the RFP and the proposal must be able to be run concurrently while the system continues to meet response time and elapsed job processing requirements. To that end, ETF requires:

- Response time requirements must be met independent of what other jobs, processes, or scripts are being executed.
- On-line response time requirements must be met independent of how many ETF users are on line, how many Web-based users are on-line, and independent of what processes or scripts are being run – such as wage and contribution edits, wage and contribution posting, interest posting, payroll running, etc.
- Elapsed time performance requirements for various process-intensive activities must be processed within the following timeframes:
  - Earnings and service edits: 80,000 members/hour
  - Earnings and service posting[9]: 100,000 members/hour
  - Interest posting: 500,000 members/hour
  - Payroll Processing: 200,000 retirees/hour
  - 1099-R generation: 200,000 individuals/hour

  The above specifications notwithstanding, the vendor must ensure that resource- (processor, database, network, etc.) intensive processes, such as month-end, payroll production or interest application, are completed within four hours from their initiation – and that such jobs have no impact on interactive access performance even while they are executing.

The application must be architected such that ALL functionality, including tasks such as employer reporting, can be processed on-line in real time – both editing and updating. Solutions architected that collect user input during the day and perform off-peak (typically night)-time batch jobs to update the BAS database will be rejected. ETF understands that some tasks such as the production of monthly payroll checks and year-end 1099-Rs require minimal interactive input from the ETF staff member followed by significant processing time. Tasks such as these are the extent of what may be considered unattended processing tasks. However, they must be able to run simultaneously during normal working hours without compromising interactive system performance in any way.

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[9] Must include any processing necessary to do enrollment processing of a new member

The vendor's solution must be architected, configured, and sized so that ALL functionality (including employer reporting) can be processed on-line in real time – both editing and updating. In general, solutions that require overnight batch jobs to update the BAS database will be rejected. During system design, ETF will consider permitting a small number of unattended process routines for very limited purposes providing the vendor can justify the proposed exceptions and can ensure that those exceptions will not in any way compromise ETF business processes. ETF's expectation is that unattended processing will be confined to end-of-period jobs such as the production of monthly payroll checks, year-end 1099-Rs, and annual member statements. The vendor is to provide a complete and comprehensive list of all such unattended processes in its proposal, along with an explanation of why these processes have to be performed in such a manner and assurance that those unattended processes will not, in any way, compromise ETF's real-time, interactive business processes.[10]

The vendor must provide the details of the batch processing required for the solution. Include a detailed description of how any batch processing is set up in conjunction with the online web applications across all environments. Discuss scheduling of batch jobs and how this will integrate with ETF batch scheduling software (Distributed Control-M) to allow conditional scheduling of BAS jobs that are interdependent with jobs run in other environments, particularly mainframe jobs.

The vendor's proposed solution must provide near 24x7 availability for all Web-enabled capabilities. At a maximum, vendors may allocate four hours per week of scheduled Web site downtime. Degradation of ETF's current system availability is not acceptable.

The proposed solution must meet the following system response time and performance criteria:

- Vendors must ensure response time averaging two (2) seconds or better, and never more than three (3) second response time, for all on-line activities. Response time is defined as the amount of time between pressing the RETURN or ENTER key or depressing a mouse button and receiving a data-driven response on the screen, i.e., not just a message or indicator that a response is forthcoming. **For this purpose, response time will be measured on a workstation permanently connected directly to a private LAN segment – in order to eliminate any issues that could be attributable to ETF's LAN traffic, or other software that may be running on users' workstations over the LAN, or other similar issues. Vendors must include this workstation in the list of recommended hardware to be included as part of the project's mandatory requirements.**

  For the specific case of imaging, ETF provides the following clarification of the two (2) second response time requirement:

  - The following example requires an average response time of two (2) seconds: Retrieval of first matching member's folder from a search based on a non-unique indexed item. The entire result set from the query does not need to be returned within an average of two (2) second. For instance, upon entering a complete last name search (no wildcards) for "Smith", the imaging application should retrieve the first matching member's folder or indicate no records found with an average response time of two (2) seconds.

[10] Such assurances must confirm that regardless of which and how many of the unattended processes or scripts are running simultaneously in the background, ETF's interactive performance requirements of the system will continue to be met.

- The following example is excluded from the two (2) second response time requirement: Advanced search queries utilizing wild cards and Boolean logic. Example: Search for last name like “Smith%” and first name not like “Sa%”.
- System uptime as specified in Section C.5.8.3 High Availability Requirements.
- Any unattended process being executed must complete in a reasonable amount of time and must also take into consideration recovery time, if the unattended process should fail. Unattended processes must complete in a timely fashion to meet business requirements and business calendars.

These response times must be attained while running load tests which include mutually agreed-upon (by the successful vendor and ETF) volumes for ETF users, employers, other business entities, members, beneficiaries, etc., based on a percentage of potential users as listed above in Table 34 Solution Sizing.

In sizing their proposed solutions, vendors must provide all background information to support their conclusions regarding the amount of system resources needed in the following areas:

- Servers
- Speed
- Number
- Processors
- Workstations (desktop PCs)
- Backups
- Memory
- Storage
- Network traffic
- Cabling.

If ETF requires additional runtime improvements to meet performance requirements stated in this RFP, the vendor must cooperate fully and support any such requests without delay and at no cost to ETF.

C.5.8.2 SCALABILITY REQUIREMENTS

The solution must provide the ability to scale the environment beyond that necessitated by the current growth predictions through the addition of hardware (or hardware components such as CPU and RAM), further partitioning the application to scale across hardware, or other means.

As stated previously, the solution must be able to meet the projected growth in processing volume of at least five percent per year for a period of 10 years following the end of the warranty period with no additional cost to ETF.

The solution proposed must provide monitoring tools to alert ETF when the system is nearing capacity thresholds.

C.5.8.3 HIGH AVAILABILITY REQUIREMENTS

For Production and Disaster Recovery environments, the solution must provide for a system uptime of 99.9%, or near 24 hours a day, seven days a week, for all major functions proposed. Activities such as maintenance, backups, system change migration, unattended processes, etc. should generally take place while the system is "up," thereby minimizing the need for scheduled downtime. For the 0.1% downtime, ETF expects that 90% should be scheduled. From a typical user standpoint (both internal ETF staff and external customers), the system should be reliable and robust to promote user acceptance. ETF is interested in the vendor's view of this requirement in relationship to the potential overall cost and complexity of the system.

Vendor must specify how availability is measured, under what conditions this guarantee will not be met, and the remedies available to ETF if it is not met.

To the extent that the proposed system is distributed, all components must be designed redundantly, so that the system maintains availability through any single component failure. Certain common infrastructure components (DNS, routers) that provide the desired level of availability may already be in operation and available within ETF. The entity supplying the hosting environment (ETF or a third party) will be responsible for updating/maintaining physical data center capabilities including, but not limited to the cooling system, electrical system, IT equipment, and physical structure of the building(s).

C.5.8.4 PLANNED DOWNTIME REQUIREMENTS

To explain how planned downtime issues can be minimized within the new solution, the vendor's proposal must address:

- How the solution minimizes (or removes) the need for maintenance of architectural and operational infrastructure. This includes online maintenance tools, as well as procedures and techniques to shrink scheduled maintenance windows
- Maintenance activities for commodity software, application, and database and network components
- How the vendor will coordinate hardware, operating system, and network maintenance activities with ETF
- Upgrade activities for hardware, operating system, software, application, database and network components. Include applicable roll back scenarios, especially for the vendor's software.
- Vendors should provide one or more client references for each of the above points. Vendors should include a methodology to demonstrate the on-line maintenance techniques applicable to the planned downtime areas identified above.

C.5.8.5 RECOVERABILITY REQUIREMENTS

Vendors should include in their proposals information on recovering from failures if the proposed high-availability solution components or procedures fail. The response must include recovery types and levels offered by the proposed high-availability solution. Examples include:

- Services offered, such as 24×7 service contracts
- Types and levels of service provided
- How a vendor responds to failure scenarios, including how components are replaced

- Restore/recovery procedures, including how the vendor will coordinate this activity with ETF staff
- Tools employed to restore the database and application to the users. The vendor should include information about the state of the database after restore, i.e., what transactions, if any, could be lost.

The proposed solution must be able to do a partial system recovery. For instance, we must be able to easily identify the necessary tables/data elements related to a business process and restore them to a point in time and still maintain system integrity.

To confirm the proposed solution's ability to meet reasonable recovery requirements, vendors are required to provide recovery time estimates. Examples (to be met) include:

- Full database recovered within 24 hours
- No individual table recovery of more than 4 hours
- Recovery of full on-line imaging capability within 24 hours.

Furthermore, provision of interim recovery is expected to be a feature of the system. For example, should a process be 95% complete when the system fails, the process should have been check-pointed and should not have to be re-run in its entirety. The vendor must describe in its response how this capability is achieved.

C.5.8.6 OPERATIONAL SUPPORT REQUIREMENTS

Operational support encompasses the personnel, procedures, and tools for day-to-day operational support, maintenance, upgrades, and monitoring of the system.

To address how operational support issues can be minimized within the new solution, the proposal must address how the proposed solution will:

- Provide an environment that leverages appropriate operations management tools, including both day-to-day systems management tools (e.g., performance monitoring, reporting batch job failures, etc.) and capacity planning tools
- Include vendor-provided tools for monitoring the system and vendor assistance in setting operational standards for those tools
- Offer an environment that minimizes the cost and work effort of operations support.

Vendors should include estimates of the effort required to support the system (in FTE (Full Time Equivalent) units). The estimates should include roles and competencies for those roles, e.g., Application Administrator, .8 FTE, three week training course, and level of technical aptitude required.

Vendors should specifically discuss pertinent operational architecture aspects of the solution, including prevention of failures, meeting availability requirements, general keep-alive system activities, and scheduled or planned downtime.

C.5.8.7 SECURITY CONSIDERATIONS

Security must be designed into the solution and assist in providing a protective shell within which the solution operates effectively – and securely. To that end, ETF requires that the successful vendor highlight as part of every requirement and design document those aspects of the particular set of requirements and design that pertain to security. The technical solution should include a Web

Application Firewall (WAF). The WAF can be software or hardware, but should provide basic capabilities, including:

- The ability to log and monitor http traffic. The WAF should be able to log, based on configuration, input and output at the http layer
- The ability to allow or deny specific transactions and patterns through configuration. If a vulnerability is discovered, ETF requires the ability to turn off the vulnerable transaction while waiting for the software to be fixed
- The ability to validate input based on configurable rules, including the use of regular expressions
- The ability to track sessions.

The WAF would be the preferred approach to provide access logging defined in the requirements below.

The BAS system will provide required log information to ETF's security information and event management (SIEM) system, currently QRadar, from all environments. OS logs, application logs, mail logs, security event logs, and custom logs will be forwarded to the SIEM. Custom logs will be defined in the design phase with consideration of compliance needs. If logs fail to be produced, the system will shut down and alert system staff of the failure.

If the solution is hosted at ETF, ETF or DET will provide virus checking, operating system patch management, firewalls, network security, secure VLANs, and intrusion detection systems (IDS) services for all BAS-related servers as needed.

Vendor's employees will formally acknowledge that they will comply with ETF information security and confidentiality policies and procedures before being granted access to ETF applications/ systems/data.

Production data will be obfuscated prior to use in any non-production environment.

Security will be part of the systems development lifecycle (SDLC). The vendor is expected to perform code reviews for security for all custom code, and ETF will be allowed to conduct unannounced code reviews for security, both manual and automated.

The BAS system will adhere to OWASP (http://www.owasp.org) application security principles that can be summarized as follows:

- Apply defense-in-depth
- Use a positive security model (fail-safe defaults, minimize attack surface)
- Fail securely
- Run with least privilege
- Avoid security by obscurity
- Keep security simple (verifiable, economy of mechanism)
- Do not trust infrastructure
- Do not trust services
- Establish secure defaults.

Data transmissions will use currently accepted cryptographic technologies, reviewed and accepted by ETF. Specifically, all browser to web server, web server to application server, and application

server to LDAP server communication must be encrypted. Encrypted communication between the application and database servers is desired.

Web service security will use ETF-approved public key infrastructure.

C.5.8.8 INFRASTRUCTURE AND APPLICATIONS VULNERABILITY ASSESSMENT AND PENETRATION TESTING

Protection of member information through means such as determination of system vulnerability is a critical issue for ETF. The successful vendor is responsible for providing a secure environment.

ETF, or a third party organization, will, at a minimum, conduct periodic vulnerability assessments and penetration tests of the network infrastructure and applications. These assessments will be conducted at the following intervals:

- At the time of the initial installation of the infrastructure
- At the time of the completion of each functional rollout phase
- Once during the warranty period prior to final handoff of the solution to ETF

Thus, if there are two functional rollouts, there will be a minimum of four separate vulnerability assessments performed.

The vendor will provide access to ETF (and/or a third party selected by ETF) following current agency standards for vulnerability scanning processes (ETF is currently using QualysGuard vulnerability management and web application scanning). If processes occur offsite to ETF, a vulnerability scanning appliance will be provided at all development and staging sites for conducting the vulnerability scans. Automated security code reviews will also be supported by the vendor, using the tools approved by ETF. Finally, manual code reviews may be conducted by ETF development staff.

In addition, penetration testing accounts will be provided in all environments for penetration testing activities by ETF, or a third party organization.

Upon completion of the assessment, ETF will determine which of the identified shortcomings are false positives and which actually need repair and decide upon any remaining shortcomings. In the event there remain security shortcomings in the vendor's systems, the successful vendor will be immediately notified. The vendor will be responsible for rectifying all remaining shortcomings in the BAS or commodity software or other systems for which they are responsible within fifteen (15) business days of being advised of them. The rectification effort may consist of any combination, or all, of the following elements: additional hardware components, additional software tools, code changes, installation services, and/or configuration services. It must include suitable testing to confirm to ETF's satisfaction that all of the identified security shortcomings have been eliminated. Subsequent to the initial 15 day rectification effort, penetration tests will be performed again to assess security. If additional shortcomings are identified and further repair deemed (by ETF) to be necessary, the successful vendor will be so informed and will have ten (10) business days to provide final rectification. All costs associated with any rectification effort of the vendor's systems (including any and all verification by any third party network and applications verification organization that said rectification was sufficient) will be borne by the successful vendor. Any delay caused by the assessments being conducted under this Section will not constitute a ETF-caused delay nor count toward the aggregate delay limits set forth in that section.

In the event that the vendor is unable to resolve all vendor system security issues to the satisfaction of ETF and any third-party assessment organization in two iterations as described above, ETF

reserves the right (and will notify the vendor of its intent) to engage the services of another (different from the organization doing the security and vulnerability analysis/penetration testing) third-party organization to resolve all remaining security issues. In this situation, the vendor will issue a credit to ETF for the full amount of the cost of the third-party organization's efforts to correct the situation. The credit will be applied to the first invoice issued by the vendor to ETF following notification to the vendor of the amount expended on the additional assessments and/or third-party services. ETF will make reasonable efforts to insure that the cost of any goods or services procured by ETF under this Section (which shall ultimately be borne by the successful vendor) are reasonable.

C.5.8.9 SOFTWARE VERSION CONTROL

Software version control software must be provided. At a minimum, automated date/time stamping and labeling of various versions must be supported. At least ten (10) generations must be maintained on-line. The software version and configuration control tools and methodology must be:

- An industry standard set of tools and methodologies
- Described and discussed in the vendor's proposal
- Able to track developer changes to the source code
- Capable of supporting code branching/merging
- Able to track source code changes between versions for audit and control purposes
- Capable of generating reports directly from the version control software that, among other capabilities, differentiate one application build from another.

If a custom tool or product is being used, elaborate on the advantages of using the customized tool over industry standard version control.

C.5.9 INTERFACE REQUIREMENTS

C.5.9.1 REMOTE ACCESS

ETF believes that the community of remote access users is divided into five groups:

- **Members and Retirees** – Individuals with controlled access to their member record as well as a range of administrative functions, such as benefit estimates and address change requests
- **Employers** – Organizations who require remote access in order to complete Web-based reporting of required member data along with any administrative tasks related or unrelated to such reporting
- **Other External Stakeholders** – Individuals (some TPAs, contracted actuaries, etc.) who require access to view, extract, or submit information pertaining to benefit recipients
- **Staff Members** – ETF employees who work from home or who log in from remote member meetings and member education sites
- **IT Support** – those members of the ETF or vendor software or hardware support staff who have been contracted to provide (sometimes remote) support of the system.

ETF further believes that all five groups should be given access via the Internet. Such access would mean that staff members, for example, logging into the ETF system from outside the ETF office

would continue to have access to the same services (such as office automation, BAS application, workflow, imaging, and email) that they enjoy while sitting at their desks.

Vendors must describe in their proposals how the solution they propose would affect the required remote access for all groups described above. The description must include discussions of:

- The particular features to which each group of user would have access
- How security would be managed for members of each group
- The advantages and disadvantages (both technical and user-related) of such access and how the vendor has overcome the challenges posed by remote access in prior installations.

C.5.9.2 OTHER APPLICATIONS

The new benefits administration solution must interface with the following internal-to-ETF applications:

- Oracle Call Center Anywhere: This system provides screen pop-ups to call center personnel responding to telephone inquiries from benefit recipients, displaying caller data when agents answer the phone. Its use for this purpose is mandated by the Wisconsin Department of Administration (DOA). Reference:

  http://www.doa.state.wi.us/subcategory.asp?linksubcatid=1400&locid=155

- Oracle PeopleSoft Financial Management. This is the agency-level financial accounting software package. A project to implement PeopleSoft is currently underway.
- Finalist. This is a Pitney-Bowes software package used by current ETF systems for normalizing address formats to postal standards (batch and online), sorting mailings to take advantage of reduced postal rates, and so forth. It runs on the IBM mainframe maintained by DOA as a shared resource for state agencies. If the proposed system does not provide equivalent functionality, it will need to interface with Finalist.
- National Change of Address (NCOA). ETF currently uses a package from Satori Software (http://www.satorisoftware.com/) to apply national change of address entries to benefit recipient accounts prior to every mass mailing. If the proposed system does not provide equivalent functionality to update addresses from the national change registry, it will need to interface with the Satori package.

C.5.9.3 INTEGRATION WITH EXTERNAL ENTITIES

The new BAS solution must interface with the external entities and applications listed below. To the extent possible, such interface should include the replacement of manual data entry or at minimum, the necessity to input data only once, followed by an automated data feed to any other application or database into which that data may have been previously entered by hand. Of particular interest is the replacement of manual data entry into WiSMART of data that already exists within the BAS solution.

- WiSMART. This is the system of record for Wisconsin state financial accounting. It is administered and managed by DOA. ETF's agency financial accounting system interfaces with this package, and ETF's long-term goal is for all WiSMART interfaces to be done through that agency system. We expect, however, that a few direct WiSMART interfaces may need to be developed, at least as part of a staged transition to the BAS.

- DOA Central Payroll. This is the Wisconsin state employee payroll system. State (not local) employee deductions for insurance programs administered by ETF are sent to this system.
- DOA Check Print and ACH Payment Extracts: Payments made from the annuitant monthly payroll and from the lump sums payroll system must be channeled through DOA. Separate extracts are performed for checks and electronic payments.
- DOA Check Ingest: Check numbers are assigned by DOA when checks are printed. Each check print extract is followed by an ingest file. This is used to update ETF systems with the check numbers assigned to payments.
- DOA Print Center Extracts: As described in Section B.1.5.2 Centralized Print Services, high volume printing is currently performed as a service by the DOA print center. However, the BAS project should explore the use of such centralized services for all of the printed output from the new solution. Currently:
  - PDF's are transferred to the print center via FTP for various system output. High-volume jobs must be segmented into files containing no more than 5,000 documents.
  - Other payroll-related print needs (e.g. "mailers" to accompany monthly payroll) are satisfied by transferring extract files to the mainframe and generating the print files using Advanced Function Printing (AFP). ETF desires to eliminate AFP printing.
- DHS Death Match: File received from the Wisconsin Department of Health Services (DHS, a.k.a. DHFS). Each month we match this against the annuitant payroll to determine whether to stop payments to deceased annuitants.
- Social Security Administration Death Match: We retrieve this from the SSA website each month and match it against the annuitant payroll to determine whether to stop payments to deceased annuitants.
- Milwaukee Teachers Health Ingest: The monthly ingest process for Milwaukee Teacher health insurance deduction information. Milwaukee Public Schools provides updated health insurance information on a monthly basis. This ingest ensures the annuitant payroll has the most recent information.
- Milwaukee Teachers Health Extract: The monthly extract process from annuitant payroll for Milwaukee Teacher health insurance deduction information.
- Milwaukee Teachers Life Extract: The monthly extract process from annuitant payroll for Milwaukee Teacher life insurance deduction information.
- Vision Care Extract: Monthly extract of vision care deduction information from the annuitant payroll system. This is used by the vision care insurance provider for payroll reconciliation.
- Vision Care Ingest: Annual ingest from the vision care insurance provider containing a row for each annuitant having insurance. Used to create premium deductions for the upcoming year.
- Minnesota Life (MLIC) Monthly Extract: The monthly annuitant payroll extract process for Minnesota Life insurance; deduction information used by MLIC for reconciliation.
- Minnesota Life (MLIC) Annual Extract: Yearly extract from payroll system of annuitants with life insurance coverage. Used by MLIC to generate data for the Minnesota Life Periodic Ingest.
- Minnesota Life (MLIC) Periodic Ingest: The annual ingest process for Minnesota Life insurance premium update deduction information on the annuitant payroll. Runs twice a year, when needed (usually in spring, March and May). One run is for the state employees and the other for local employees.

- Minnesota Life (MLIC) Periodic Insurance Certificate Ingest: Similar to the Minnesota Life Periodic Ingest, but data in this file is used to print new life insurance certificates for benefit recipients whose coverage amount has changed.
- Long Term Disability Insurance (LTDI) Ingest: This annual ingest from Aetna (the third-party administrator for LTDI) updates ETF data relevant to this type of insurance.
- IRS Filing Extracts: On an annual basis, IRS filings are made for W2's, 1042s and 1099-Rs from the annuitant payroll system, and for 1099-Rs/1042s from the lump sums payroll system.
- Wisconsin Department of Revenue (DOR) Filing Extract: Similar to the IRS filing extract, we make annual payroll system 1099-R/1042 filings with DOR.
- Health Insurance Enrollment. The BAS will become ETF's system of record for enrollments, changes and terminations of health insurance for benefit recipients. Data itemizing changes to coverage is propagated to 19 separate *health plans and pharmacy benefit management organizations* using HIPAA-mandated ANSI-834 and ANSI-820 formats. Receipts/acknowledgements of transmissions are received back from plans in ANSI-999 format. In addition, a process to reconcile full coverage records of each health plan to ETF coverage records is and must remain available.
- Electronic Health Insurance Enrollment: We accept batch XML input from *employers* for Health Insurance Enrollment of their employees.
- Group Life Enrollment: We accept batch XML input for a certain subset of University of Wisconsin new enrollees into the group life insurance program.
- Income Continuation Insurance (ICI) Enrollment: We accept batch XML input from the University of Wisconsin system for new enrollees into the ICI program.
- Centers for Medicare and Medicaid Services (CMS): Exports of health insurance information related to benefit recipients at or nearing the age of Medicare coverage. Imports of match information from CMS into the health insurance system. This is the "VDSA" program at CMS.
- US Bank maintains an ACH payment system. Retirement and insurance systems' payment processes transfer control to US bank to enable employers to pay invoices by initiating ACH transaction on the US Bank site.

In addition to current interfaces listed above, ETF is interested in developing new interfaces in the following areas. Although specifications for these have not been developed, vendors should state their willingness to develop these and describe the process by which they would be produced and implemented.

- Wisconsin Department of Workforce Development (DWD) Workers Compensation: Read-only with print capability to view claim information on Worker's Compensation claims pertaining to Duty Disability and Income Continuation Insurance (ICI) claimants.
- DWD Unemployment Insurance: Read-only with print capability to view claim information on Unemployment Insurance claims pertaining to Duty Disability and ICI claimants.
- Social Security Administration (SSA): Monthly feed of information (file sent to SSA & verification sent back from SSA) of individuals that are receiving disability benefits through WRS but may also be receiving SSDI or SS Retirement benefits. This impacts both offsets to WRS benefits as well as having potential health insurance implications. We would need benefit amounts and dates if SS was paid to a WRS benefit recipient.

- Wisconsin Department of Revenue (DOR): Read-only capability to view tax return information for disability recipients to determine if offsets have been correct in prior year due to earnings for benefit recipients.
- Third Party Administrators (TPAs – Aetna & Minnesota Life): Ability to have a seamless point of entry through ETF's system to view TPA system information related to our benefit programs.
- Actuaries (Deloitte & GRS): Ability to exchange information from within ETF's system, rather than completing multiple logins, to actuaries for completion of valuations & reports and allow the actuaries to view our information rather than sending the information to them in an extract file.
- SSA Number/Name Match: We would like to develop a way to verify SSN validity and name matches by exchanging data with the Social Security Administration, most likely via file exchange.
- Wisconsin Tax Intercept: The Wisconsin DOR can accept files to register debt obligations, and will intercept tax refunds to pay those debts. We may wish to develop an interface with them for uncollectable overpayments from the annuitant and/or lump sums payroll system.

The vendor is to note that whenever possible, ETF requires the replacement of monthly processes with a "real-time" web service type call to the indicated system. The business goal is to get information "immediately" (or more frequent than monthly, e.g. per pay cycle).

C.5.10 OPTIONAL DISCUSSION

As noted above, all responses are required to include complete hardware and software specifications and licensing fees for an ETF-hosted solution. However, vendors are also invited to respond in their technical proposals to this optional section and discuss how their solution might leverage existing DET-managed, mainframe computing facilities used by ETF, particularly through use of the mainframe Database Server.

The Wisconsin Division of Enterprise Technology mainframe DB2 database is used by almost all legacy applications as the database server. The vendor is to include in its response a discussion of how the proposed solution might be adapted to continue using mainframe DB2 for this purpose and the pros/cons of such a configuration. The discussion must identify any changes to hardware, software, and services that would result from such a configuration. Finally, the cost implications resulting from such a configuration should be presented in the vendor's cost proposal.

NOTE: This optional section is not scored. Its absence or presence/content will not affect the evaluation of RFP responses. It should not be interpreted by vendors as expressing any desire for or against leveraging mainframe-based computing facilities currently utilized by ETF. It is intended to offer responders the opportunity to explain how their solution might be able to fit into current ETF architecture and help us assess the tradeoffs of doing so.

C.6 PROJECT MANAGEMENT-RELATED REQUIRED SERVICES AND DELIVERABLES (INTRODUCTION)

In addition to the business and technology requirements specified, ETF has identified several project management-related areas that are of importance in selecting a vendor. These requirements have been accumulated under a single heading — Project Management-Related Required Services and Deliverables. The intent of this section is to inform the vendor of its responsibilities and the expectations for its conduct over the duration of its relationship with ETF in the following areas:

- Project management
- Assisting ETF staff and users
- Standard project management deliverables
- Project staffing
- Data
- Training and knowledge transfer
- Testing.

C.6.1 PROJECT MANAGEMENT (INTRODUCTION)

ETF expects the vendor to be competent in project management skills. The vendor's approach to project management must ensure that:

- Project planning is part of normal daily activities
- Resource planning occurs in conjunction with ETF management and is inclusive of ETF business and technical resource needs as well as vendor resourcing needs
- There is an established path for escalation of project issues
- Risk management is included as part of the normal project management process
- Project management is able to provide reports to ETF business units and management on the progress against project objectives, to ensure continued project support and keeping to mutually established time lines and deliverables
- The project plan is organized in a phased approach that provides achievable and demonstrable milestones and deliverables. The engagement should be managed to meet those specific milestones with an established method of reporting project status.
- Each milestone/deliverable that is directly tied to an implementation of processes or technology changes and a corresponding payment point must "stand alone" and add value (functionality/capabilities) for ETF's target user(s).
- ETF has its own Project Management methodology as documented at a high level in Appendix E.13. Recognizing that a vendor may have their own methodology, it is the vendor's responsibility to highlight and justify any deviation.
- Whether the project lifecycle followed is waterfall, iterative waterfall, agile or other, the project should be managed to a PMI standard methodology, through which the accomplishments, deliverables and artifacts are managed and delivered through standard Concept, Initiate, Plan, Execute, Monitor and Control, and Close phases (see Appendix E.13).

C.6.1.1 RELATIONSHIP

This engagement will be a long-term relationship; therefore, the nature of the relationship and interactions between the vendor and ETF will be key to the success of the project. To address this issue, the proposed solution and approach must ensure that:

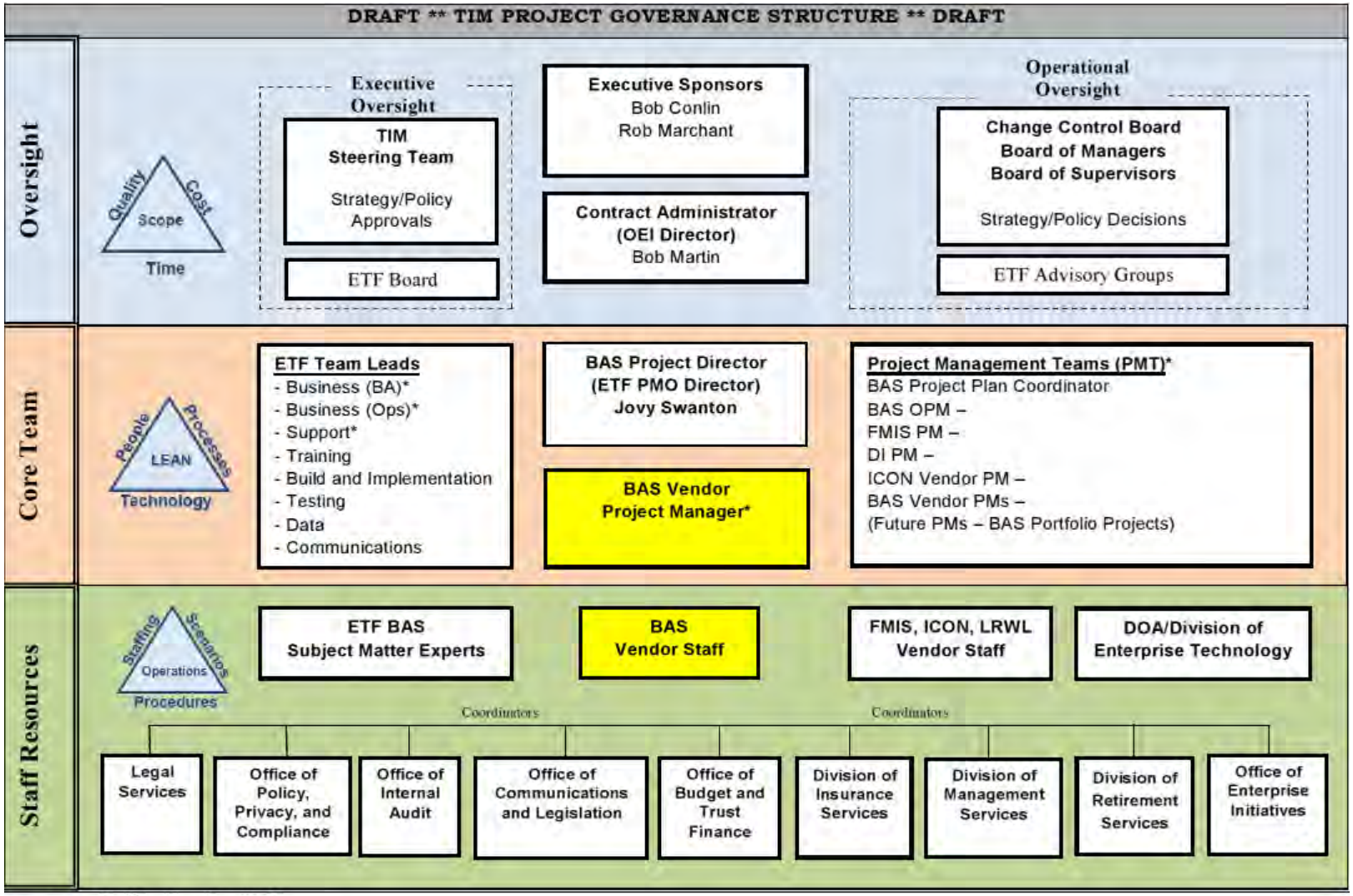
- The vendor has a demonstrated ability to understand and deliver realistic mission-critical systems on time, on budget, and within scope
- There is a high degree of cooperation and coordination between ETF and the vendor
- The vendor can provide technical leadership and has the courage to suggest innovative solutions and take advantage of opportunities as they present themselves
- The vendor understands the aggressive nature of the schedule and will take ownership of tasks in a proactive manner
- The vendor understands the vision for ETF and is able to align the vendor's capabilities with ETF's needs
- The relationship is not an opportunity to sell untried vendor offerings that may place ETF at risk in meeting its business objectives
- This relationship is to be a collaborative effort that allows (expects) the vendor to make timely and appropriate suggestions to/for ETF. ETF is flexible and open to appropriate change in an effort to make both the vendor and ETF successful.

C.6.1.2 PROJECT GOVERNANCE AND OVERSIGHT

The vendor will report to the ETF Project Director, who will be an ETF staff member dedicated to this project on a full time basis. The vendor will report project status as described in Section C.6.3.3 to those in the project oversight hierarchy.

ETF has a number of managerial and technical Boards which will jointly exercise control over aspects of the project. The complete TIM project governance (with a focus on the BAS project) organization is outlined in the diagram on the following page.

Figure 12 TIM Project Governance Structure



* = Staff assigned to PMO

C.6.1.3 MULTIPLE PARTY RELATIONSHIP

All vendors must understand and acknowledge in their proposals that the project is a three-party relationship between ETF, the vendor, and the Oversight Project Manager / Quality Assurance (OPM/QA) consultant selected by ETF; the OPM/QA consultant may be any one of (or a combination of the following): a consulting firm, an employee or contract employee of ETF, an employee or contractor of an oversight or IT agency. The OPM/QA consultant will assist ETF with any and all of the following (without restriction): (1) assessing the project methodologies, planning, and execution, (2) assessing implementation quality, (3) evaluating quality and compliance of deliverables, and (4) participating in activities such as hands-on testing of the solution in order to accomplish the first three listed activities. The selected OPM/QA consultant will also assist ETF in developing and implementing the following project monitoring procedures:

- Project schedule monitoring
- Project scope monitoring
- Project budget monitoring
- Project quality assurance monitoring
- Project testing monitoring

All written project materials (e.g., statements of work, project plans and schedules, design documents, test materials, training materials, form and letter templates) are to be provided directly to the OPM/QA consultant by the vendor, as well as to appropriate ETF staff for review and approval. The OPM/QA consultant will review all such materials and provide suggestions and comments in the same time frame and in the same manner as will ETF staff.

It is the vendor's responsibility, and not ETF's, to deliver such project materials directly to the OPM/QA consultant. Nor is it the OPM/QA consultant's responsibility to access the material from an internal email system. This delivery to a third party may well require additional document preparation steps relative to the delivery to ETF staff. The deliveries will be made electronically via (Internet) email – or through email notification of a new version of a document in an accessible shared library. The documents being delivered must be complete, i.e., no "embedding" of documents using "shortcuts" will be accepted unless they can be opened after being transmitted through the Internet.

Therefore, vendor staff may be required to perform some document and file manipulation in order to accommodate the delivery to the OPM/QA consultant. Further, due to email transmission constraints, no files bigger than 10 MB may be sent. This limitation may require additional planning and coordination on the part of the vendor to ensure that materials are delivered for review in a timely fashion. Vendors should plan to compress or "zip" all significant files. Offerors are cautioned to factor into their project-staffing plan any additional efforts related to delivery of project materials to the OPM/QA consultant.

After contract execution at the project's inception, the vendor will be provided with email addresses, and distribution lists for submission of various project materials. The vendor can also be provided with a secure FTP site, if desired.

Vendors must acknowledge in their proposals that it is their responsibility to provide all such written project materials to the independent, outside OPM/QA consultant via email as described above (as well as to ETF staff).

ETF's outside OPM/QA consultant will be bound to reasonable commercial terms of confidentiality protecting the confidential or proprietary information of vendor and its subcontractors. As such, no material will be limited in its distribution and/or restricted from review and discussion with such a consultant

C.6.1.4 PROJECT MANAGEMENT AND CONTROL METHODOLOGY

Offerors are required to address in their proposals the following minimum requirements in the areas of project management and control.

The vendor must describe in detail the methodology it will utilize to manage and control the project including its change control methodology.

Due to the magnitude and complexity of the effort, it is essential that an automated project management tool or tools be utilized for this purpose; for example, ETF requires the use of Microsoft Project. The vendor will deliver to ETF the Microsoft Project files at various points in the project. ETF wants to work with the vendor to ensure that the tools recommended by the vendor are transferrable upon project completion at no additional cost to ETF. If proprietary tools are recommended, ETF wants to have the solution justified and supported in perpetuity.

The vendor is to provide examples of its use in previous efforts on behalf of other clients.

The vendor is expected to use the tool to automatically reflect the effect on the overall project of changes in various parameters, e.g.:

- Changes in project scope
- Changes in project requirements
- Changes in project schedule
- Changes in resource availability (ETF's and/or the vendor's).

The vendor must be prepared to automatically generate various reports to reflect the project's status at any point in time, e.g.:

- Gantt charts depicting start date, end date, interdependencies, and duration of individual tasks
- Graphical display of the project's critical path
- Percent complete status of individual tasks
- Calendar driven, manpower loading charts, by individual task, for both vendor and ETF staff including variable man-hours per work day
- Calendar driven manpower loading charts, by month/week, for both vendor and ETF staff including variable man-hours per work day.

The vendor must describe in its proposal the control methodology that it will utilize to ensure that any problems that may develop in the course of the project (including but not limited to schedule slippages or resource constraints) will be quickly identified and resolved. The vendor must provide examples of how this project control technique, i.e., issue resolution, has been utilized successfully in previous similar engagements on behalf of other clients.

The project management tools must be an integrated part of the vendor's system development life cycle approach and project management methodology and should follow PMBOK (Project Management Institute Body of Knowledge) standards that ETF can replicate/support with its own – or vendor provided – software solution(s).

Change management and change control methodology are critical to the success of this effort. The vendor must describe the methodology and mechanisms it has in place and will use to support the effort. Particular emphasis must be placed on how revisions will be managed and controlled, as well as ETF's responsibilities in this area. For further information, refer to Sections C.6.3.7 and C.6.3.8 which describe detailed requirements pertaining to change requests and problem incident reports.

C.6.1.5 SYSTEM DEVELOPMENT LIFE CYCLE (SDLC)

Out of consideration for the demands that will be placed on ETF staff members during the course of the project, vendors must state their commitment to utilize a single system life cycle methodology and terminology for all portions of the project. For example, if the vendor proposes to procure, customize, and integrate a third party "payroll generation package" into the overall solution, then all activities relating to the payroll package must observe the same system life cycle methodology that will be utilized in developing the rest of the BAS solution. ETF staff members are to be educated in and expected to utilize only one (not several) life cycle methodology and terminology set for the duration of the project.

ETF prefers methodologies that allow ETF staff multiple opportunities to validate requirements and design. For this reason, an iterative development methodology is favored for use in the development of the BAS application. Ideally, this includes an opportunity to view rapid prototypes of requirements and design concepts, screens, content, and application flow. (Such prototypes do not necessarily need to become operational nor be reused during development.) Simulation of workflow and performance measurement within the design effort is also desirable. Proposals that include in the development period multiple conference room pilot demonstrations – wherein users see the full member life cycle from enrollment, through withdrawal and refunds, re-enrollment, refund buy back, retirement, return to work, change of address, beneficiary, plan, etc. – would be viewed favorably by ETF.

ETF has a high level of concern with regard to the system development life cycle and configuration control. The project will, of necessity, be divided into multiple functional rollout phases, each including numerous activities / tasks which will be implemented sequentially or on an overlapping basis. Each rollout phase will involve numerous deliverables (documents and software), which will be submitted to various ETF staff members for review and revision over multiple iterations. Active participants will include not only ETF staff, but also the vendor's staff, possibly working from multiple locations, as well as other contractors to ETF whose activities must be coordinated with the new system development effort. This may include quality assurance consultants, oversight project management consultants, data cleansing consultants, process change consultants, business analysts, testers and others.

ETF currently has the following preference regarding the implementation order of phases within the overall engagement. The capability described in Phases 1, 2, and 3 below must be provided first; others are open to discussion. The vendor should provide information regarding its preference if different from the following order (see also Section C.6.1.6 Phasing the Project):

- Detailed work plan, a top-level Concept of Operations document (described in Section C.6.2.2), a Risk Management Plan (described in Section C.6.3.9), and a Development Methodology Overview – End User document (described in Section C.6.2.3).
- Detailed requirements document, a revised detailed work plan, a Project Communications Plan (described in Section C.6.2.1), and an updated Requirements Traceability Matrix.
- Installation and configuration of all new / upgraded hardware and software, including ECM capabilities (if they are part of a vendor-supplied upgrade). Phased implementation and rollout

of solution consisting of at least two implementation stages during each of which the successful vendor will be responsible for the execution of its solution development methodology (final requirements sign-off, configuration and development, data conversion (described in Section C.7), unit, system, life-cycle, etc., testing (described in Section C.7.4), training of ETF personnel (and employers if necessary) (described in Section C.7.3), documentation, etc.)

- Post Implementation Warranty (described in Section C.8.4.1)
- Post Warranty Support (described in Section C.8.4.2 and C.9.3)

See Section C.6.1.7 for additional details.

ETF's objective is to be assured that an appropriate control scheme is put in place and rigorously applied to all project activities such that all project participants understand what they are working on, what is expected of them, and how it fits into the overall project. Specifically, ETF wants to ensure that, without exception, all project participants – the vendor's staff, ETF staff, and all concerned third parties – when approaching a task (whether it is developing software, drafting / updating written documents, or reviewing a deliverable), clearly understand:

- The phase of the project to which the task relates
- Which revision / release they are working on (and that it is the current revision / release)
- The date of the revision / release
- How many previous versions were developed and reviewed
- What has been changed, added, or deleted relative to the previous release
- What functions or features the delivery should contain and what it should not contain
- If it is a written deliverable, how many pages it should contain
- The emailed documents or the CD-ROMs that accompany the delivery (if applicable) and precisely what those emails or CD-ROMs contain
- When a response is required
- When the next release can be expected.

Below are compiled ETF's minimum requirements for maintaining control throughout the project to its successful conclusion. The vendor is required to include in its proposal a detailed description of the control procedures and methodologies it plans to employ to ensure adequate project control as described below.

C.6.1.5.1 WRITTEN DELIVERABLES

In its proposal, the vendor must confirm that (unless otherwise specifically agreed to by ETF, on a per-document basis) all documents to be delivered during the project will include the following "history" of generation:

- Submittal of an annotated **outline** for review and approval (only required for the first document of a class, i.e. a specification template/outline would only need to be delivered once during the project unless the template is modified during the project)
- Submittal of the final, complete **draft** for review and approval
- Submittal of the final, complete **document** for final review and acceptance.

Each of the above submissions must follow a standard number versioning scheme so when accessing a document the reader will quickly know the "state" of the document. For example, all outlines might be version 0.1-0.9, drafts state might then be represented by version 1.0-1.9, and final documents, version 2.0 and above. Vendors must describe their proposed numbering scheme in their proposals.

Furthermore, all documents, starting with the response to this RFP, must be delivered in a current or immediately previous version of MS Office Suite (Excel, PowerPoint, Word, Visio) or MS Project. These files must be in an "unlocked" form such that ETF can use revisions and comments in reviewing them. MS Office documents may not include embedded macros, modules, or conditional formatting rules.

For any well-defined class of documents (e.g., business process models) ETF may require the vendor to supply a single outline, a single sample section, and a single draft sample pertaining to all documents in that class. Also, it is understood that, in most cases, multiple drafts will be submitted for review before the final document can be submitted for acceptance. All revisions to drafts must use the MS Word "track changes" feature that clearly indicates changes between each version. The vendor will be required to supply to the designated ETF Project Director MS WORD and/or Excel file(s) and/or graphical representation software file(s). In most instances, the electronic copy is to be submitted via email. The distribution process will be agreed to at the commencement of the project, but will require the vendor to distribute the delivered documents (or notification of their having been published) to all reviewers including ETF's Oversight Project Management / Quality Assurance consultant.

The vendor is required to detail its proposed document formatting standards pertaining to written deliverables, taking care that the following topics are included:

- Cover page (including document title, version number, and date)
- Revision history
- Table of contents (if the document is over five or six pages)
- Page headers and/or footers (including page numbers – formatted as page i of n pages)
- Captions on tables and figures

The vendor is also required to detail its proposed control methodology pertaining to written deliverables, including at least the following topics:

- Every document deliverable must be delivered (via email) or submitted to a repository such as MS SharePoint in electronic form. Submitting one or more files in one or more ZIP files is acceptable
- Every deliverable must be fully integrated in the sense that all diagrams, screen images, report layouts, spreadsheets, and similar or related items must be inserted in the appropriate place. References to external files are to be avoided
- At the completion of a phase, all accepted and final documents should be packaged in hard copy and suitably bound both for the convenience of the reader and to prevent the loss of pages. Documents of fewer than 40 pages can simply be stapled.
    - Larger documents must be delivered in some sort of binder, and if they exceed 100 -150 pages, they must be delivered with dividers separating major sections
    - If a binder is used, the document title, identifier, revision number, effective date, and issue date must appear on the cover and the spine of the binder

- Every deliverable, without exception, must be accompanied by a notification of transmittal (email message is acceptable), which indicates:
  - The title and identifier of the deliverable
  - The revision number
  - A summary of how this version has changed relative to the last revision (e.g., referring to a review meeting where the previous version was discussed). Other than this high level written summary, detailed changes may be shown in WORD "revisions" for ease of understanding
  - The date by which comments must be returned and to whom they must be forwarded; other actions may be requested, such as requesting ETF to set up a review meeting
  - Note: ETF staff must always be allocated a minimum of five (5) business days to turn around a deliverable under review. In addition, all deliverables must be reasonable in volume in order to permit the review to be completed within five (5) business days. A deliverable which would require the average person more than eight (8) applied hours to review would not be considered reasonable in volume given the five-day turnaround cycle. Deliverables requiring more than eight (8) hours of review must be allocated a proportionately longer review cycle. Also, the vendor shall not be permitted to deliver an unusually large quantity of deliverables in a short time period (i.e., NO "PILING ON") that would preclude ETF from meeting their review timeframes.
  - If applicable, notice that this is the last revision cycle and the next release will be the final document – or, alternatively, an indication of when the next release can be expected to be delivered.

C.6.1.5.2 TRACKING OF WRITTEN DELIVERABLES

It is ETF's intention that both the vendor and ETF will make a concerted effort to track all deliverables, both written deliverables and software deliverables. Absent a detailed procedure for tracking deliverables, there is great concern that serious problems including but not limited to the following will arise: some people who should review a deliverable will not receive a copy, some people will find themselves reviewing an outdated (non-current) version, or feedback from some people on a particular deliverable will be overlooked.

The vendor is required to detail its proposed control methodology pertaining to tracking written and software deliverables, taking care that the following minimum requirements are explicitly included:

- The vendor will maintain a computerized deliverables control file (readily available to the ETF Project Director to review on-line or in printed form) which will always provide the current status of any particular deliverable (written or software); this tracking control file must contain a separate tracking form / record for each revision / release of each deliverable, indicating:
  - Title and identifier of deliverable
  - Functional area (i.e. benefit calculations, purchase, etc.)
  - Current version of deliverable
  - Date of issue
  - Project phase to which the deliverable pertains
  - Short description of the deliverable
  - Current owner of the document, i.e., ETF or vendor

- Date that the response is due from the ETF Project Director or the next revision is due from the vendor.

- The ETF Project Director will maintain a deliverables control file containing the same information (listed above) for each deliverable received from the vendor, along with the name of the person at ETF who has responsibility to review and respond for a particular deliverable
- In general, responses to deliverables will be channeled through the ETF Project Director (or designee, by section, document or deliverable), who will record the receipt of the responses in ETF's deliverables control file, prepare a single consolidated response, and forward it to the vendor
- At the project management status meetings, the vendor must formally report all of the deliverables issued during the status reporting period in a cumulative table format showing the delivery and anticipated turnaround dates. The ETF Project Director will confirm that all deliverables reported by the vendor were received based on ETF's deliverables control file. To avoid deliverables "slipping through the cracks", the vendor will submit a weekly report of deliverables' status, e.g., those awaiting review, in revision, in test, in rework. Refer to Section C.6.3.3 for additional status reporting requirements.

The vendor must describe in its proposal its approach to the above, including providing samples. If the vendor takes exception to the above, the vendor must describe an alternate methodology that will satisfy the same objectives.

C.6.1.5.3 SOFTWARE DELIVERABLES

The vendor is required to detail its proposed control methodology pertaining to software deliverables, taking care that the following minimum requirements are explicitly included:

- Installation of the application software on the appropriate hardware platform(s). The end user must easily be able to identify, within the software, what release or version of the software they are using as well as the release date (e.g., by going to Help>About).
- Easy end-user identification of which environment they are working in (i.e., QA vs. Production)
- All reports must display in their header or footer the version/release number, the date of last modification of the software (not simply the report print date) that generates the report, as well as the name of the program that generates the report. All reports shall have unique names, as well as the date of the report run, printed in the heading
- With each revision or release of software, documented release notes must be provided for each environment into which the software is promoted (QA and Production). Prior to any move to Production, release notes must be delivered and signed off by both the ETF and vendor project managers. The release notes must include:
  - A list of all specifications (or similar design documents) and the version number of each reflected in the software delivery
  - A list of all change orders reflected in the delivery
  - A list of all differences between the previous and current release (i.e., fixes, newly discovered defects [regression] and new functionality).

C.6.1.5.4 TRACKING OF SOFTWARE DELIVERABLES

Regardless of the methodology proposed by the vendor, ETF requires the following with regards to software deliverables:

- Use of version control software tools that will allow ETF project staff to track and audit code as it migrates through the SDLC
- Well-enforced use of migration with each release of code such that it migrates through the following sequence of environments:
  - Development
  - Test / QA
  - Staging
  - Production.
- The ability to generate reports that support each migration, the use of which will help ensure that all of the correct modules and configuration files are migrated through each environment.

The vendor's proposal should include a description of the process that vendor uses to ensure that each release of software is complete and correct. Samples of audit reports run from the version control software should be provided with the response. One of the samples should clearly show how the difference in one release of software to the next is identified. ETF requires written acknowledgement within the vendor's response acknowledging the vendor's understanding of and willingness to comply with the above requirement.

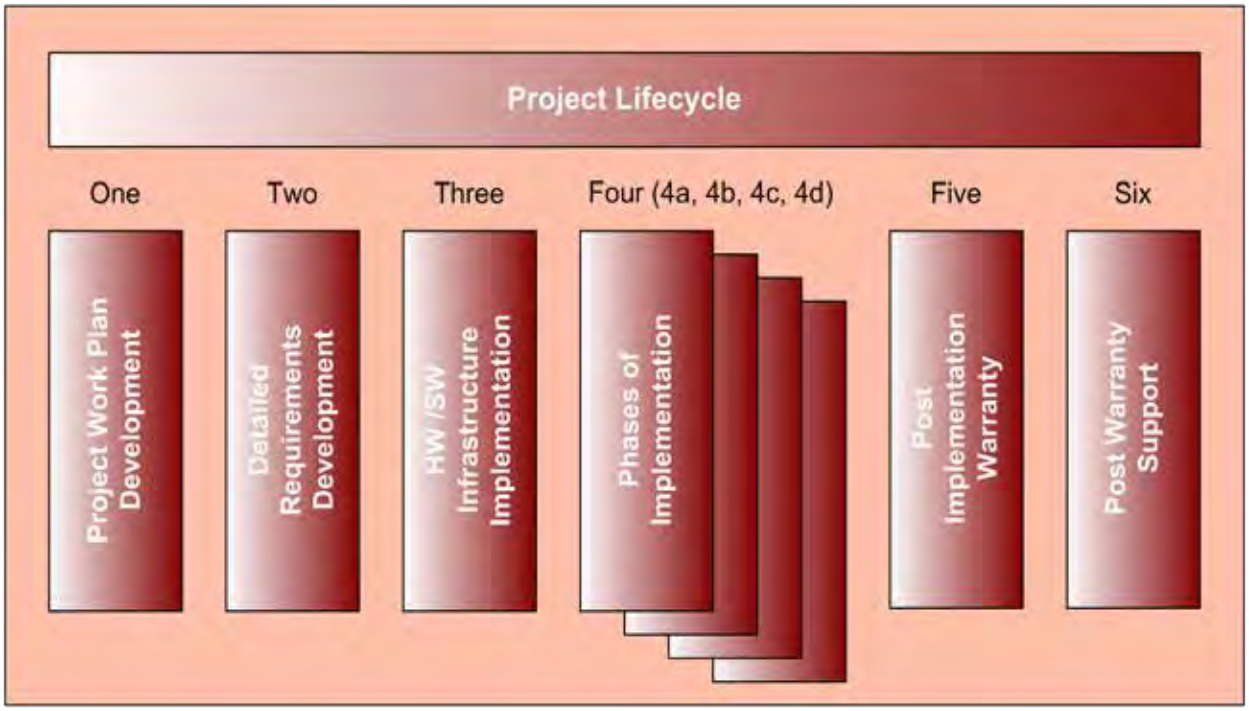
C.6.1.6 PHASING THE PROJECT

ETF is seeking proposed solutions that embrace a phased approach. ETF seeks to avoid a "big bang" approach in which the entire solution is brought on-line in one cutover. By requiring the vendor to deliver the solution in phases, the amount of change that must be absorbed by the organization, particularly the system end-users, at any one time can be reduced to manageable levels. ETF will be unable to absorb the required amount of simultaneous change to all aspects of our business (e.g., payroll, member maintenance, employer reporting) in a single cut-over. In addition, rolling out a solution in a single phase does not allow "correction" time during which ETF becomes familiar with the vendor's interface and how just one aspect of the vendor's solution works.

ETF recognizes that such a phased approach will incur the added cost of data bridging efforts in the form of temporary bridging routines needed to keep the legacy system and the new solution synchronized during the period when both systems will be in use.

Therefore, vendors will provide proposals that will structure the implementation to have several phases. The required Phases are defined by ETF below:

Figure 13 Required Project Phasing



Phase 1 - Delivery of a detailed work plan within the period specified in Table 30 in Section C.3 Project Timetable – Major Deliverables. The detailed work plan must include a Transition Plan, an Integration Plan, a Data Migration / Conversion Plan, a preliminary Data Bridging Plan, a Rollout plan, a Training Plan, and a Work Breakdown Structure Plan, including but not limited to narratives, task definitions, schedules, Gantt charts, dependencies, ETF and vendor manpower loading, payment points tied to deliverables tied to the work plan, and monthly cash flow projections. This plan will encompass all mandatory project elements and all options authorized to date at that time.

Phase 2 - Delivery of a detailed requirements document, a revised detailed work plan, a project Communications Plan (described in Section C.6.2.1), a top-level Concept of Operations document (described in Section C.6.2.2), and a Development Methodology Overview for End Users document (described in Section C.6.2.3). This phase will be completed within the period specified in Table 30 in Section C.3 Project Timetable – Major Deliverables.

Phase 3 - Including but not limited to implementation of proposed hardware and software infrastructure, i.e., installation and configuration of a network, removal of current desk top PCs and replacement with more-robust standard client PCs (if necessary), upgrade to existing network components and PCs (if they are suitable for re-use), and upgrade/installation of office automation, internal and external email, ECM System and network printers as necessary. This phase will be completed within the period specified in Table 30 in Section C.3 Project Timetable – Major Deliverables.

Phase 4 (comprising at least 4a and 4b) - is left to the vendor to define in its proposal. These later project phases will consist of the functional rollout (including, but not necessarily limited to, Membership and Benefits) of the new BAS system, thus replacing all of ETF's current legacy benefits administration systems. The vendor must discuss how it plans to phase the remainder of the effort. This discussion must address the rationale for the recommended breakdown of the

functional roll-out into phases, the reasons for the recommended sequence of the functional rollout, and a top-level schedule indicating expected start and completion dates for each phase. The proposal provided by the vendor and the ensuing contract shall clearly define all of the elements of each phase and the relationship among phases in terms of schedule and deliverables. Finally, ETF points out that incorporating a "parallel" phasing strategy (e.g., cutting over and operating under the active member component of the new BAS while still maintaining the same information and conducting the same tasks under the active member component of the legacy system) is not acceptable.

ETF requires that Phase 4a (i.e., the first functional rollout of the new BAS application) include delivery of the required ad hoc query and reporting capability. In this way, "super users" and IT staff will have the early capability to run ad hoc queries, generate reports, and perform all "balancing and reconciliation" activities, thereby achieving a level of self-sufficiency well before final system rollout. In addition, integrated ECM (imaging, COLD, workflow and correspondence management) must be rolled out in the first functional rollout phase and all subsequent phases.

Phases 5 and 6 – Are the Post-Implementation Warranty and Post-Warranty Support periods as they are described in Section C.8.4.

In particular, vendors must discuss in their proposals how the phased transition to the new environment will be accommodated with regard to ETF's existing Web site. As benefits administration functionality is rolled out in phases, this new functionality must be reflected in the ETF Web site. It will be the vendor's responsibility to suitably integrate ETF's existing Web functionality with the new benefits administration functionality for each functional rollout during the phased implementation.

Note that throughout the phased implementation, the solution must maintain terminal emulation capability to provide access to ETF's legacy application modules during the phased implementation. To clarify, vendors are required to ensure that ETF staff can perform their work processing with no loss of productivity in:

- The current legacy environment, or
- The new solution environment, or
- Both environments simultaneously.

C.6.1.7 PROJECT WORK PLAN

The vendor assumes full responsibility for planning, scheduling, and completing all project tasks. The table below provides a summary of the specific work plans the vendor is to provide at particular times in the project. The components of the specific plans are described below the table:

Table 35 Required Project Plans

PLAN NAME	DELIVERY	CONTENTS
Initial Plan, Version 1	As part of proposal	High-level plan including options
Initial Plan, Version 2	As part of proposal	High-level plan without options
Phase 1 Detailed Plan	At time of contract signing (as indicated in Table 30 in Section C.3)	Initial Plan expanded to include detailed plan of first Phase of the project.

PLAN NAME	DELIVERY	CONTENTS
Complete Detailed Plan, Version 1	As indicated in Table 30 in Section C.3	Phase 1 Detailed Plan expanded to include same level of detail for next six months of the project.
Complete Detailed Plan, Version i	As required	Updated version of plan to include a rolling quarterly update of the plan.

C.6.1.7.1 INITIAL PLAN

The vendor must include an initial high level project work plan in its proposal. It must be understood that the high-level plan will subsequently be expanded into a revised, more detailed version of the above work plan to be delivered in two parts that make up the first two contractually required deliverables of the project. At the time of contract execution, the selected vendor must deliver a completed work plan for the first phase of the project; the detailed plan for the remaining phases of the project must be delivered within the period specified in Table 30 in Section C.3 Project Timetable – Major Deliverables. The total work plan will be subject to on-going modification, periodic updating, and "explosion" into greater detail as the project progresses.

In developing their work plans, vendors must be sensitive to the fact that the months of June and December (for Retirement Services) and August, September, and October (for Insurance Services) are periods of high levels of business activity for ETF.

The high level work plan must include, at a minimum:

1. A Work Breakdown Structure (WBS):
2. Definition of project phases (see Section C.6.1.6) to include description of the activities within the phase.
3. Definition of tasks that comprise each project activity within a phase, including:
   - Task title
   - Task description/narrative
   - Task start and end dates
   - Effort required in work hours
   - Personnel assigned
4. Identification of major project milestones, e.g.:
   - Requirements analysis
   - Hardware installation
   - Software modification
   - Software installation
   - Data conversion
   - Testing
   - Training
   - Acceptance
   - Cutover

- Description of deliverables, including at a minimum all deliverables called for in Section A-3.2.

The work plan must clearly identify that the implementation is phased according to the requirements stated in Section C.6.1.6 and indicate the elements included in each project phase. A high-level project schedule based on the target dates stipulated in this RFP (see Section A.2.2), presented in a Gantt chart or other suitable format, must be included (in MS Project Format so that ETF can expand multiple tasks in the plan, view the Gantt Chart, etc.). Two versions of the completed high-level work plan are required. In the first, the vendor must include only the mandatory elements of the procurement. In the second, the mandatory portions and all options are to be presented.

C.6.1.7.2 PHASE I, DETAILED PLAN

At the time of contract signing, the vendor shall provide a detailed work plan for the first phase of the project (see Section C.6.1.7), covering all tasks to be accomplished during that phase. The detailed work plan shall be based on the high level work plan included in the vendor's proposal, including any modifications made during contract negotiations. ETF will review the plan and provide the vendor with written comments within five (5) business days of the receipt of the plan. The vendor will revise the plan to reflect the review and republish the plan within five (5) business days. This first portion of the complete detailed plan shall guide the execution of project-related work during the first sixty-day phase, while also indicating to ETF the specific resource requirements during that period.

C.6.1.7.3 COMPLETE DETAILED PLAN

Within the period specified in Table 30 in Section C.3 Project Timetable – Major Deliverables, the vendor shall provide to ETF a complete detailed work plan for the entire project. Like the plan for Phase I, the complete detailed work plan shall be based on the high level work plan included in the vendor's proposal, including any modifications made during contract negotiations, providing the detailed plan for the upcoming six month period and an outline of the remainder of the project. It will include any options that have been authorized to date at that time. ETF will review the plan and provide the vendor with written comments within ten (10) business days. The vendor will revise the plan to reflect the review and republish the plan.

The detailed work plan and schedule will then be updated on a mutually agreed upon schedule, at a minimum, whenever major new phases are undertaken, whenever change orders are initiated, and no less frequently than every three (3) months. Each (quarterly) update will ensure that the six-month period from the submission date of the updated plan is presented in detail.

C.6.2 ASSISTING ETF STAFF AND USERS

The following sections discuss the successful vendor's responsibilities for assisting ETF staff and users throughout the project.

C.6.2.1 COMMUNICATIONS PLAN

Within the period specified in Table 30 in Section C.3 Project Timetable – Major Deliverables, the vendor will be required to deliver a comprehensive project communications plan that will address the communications needs of all of the stakeholders in the project, i.e.:

- Who will need what information
- When the information will be needed (point in time / frequency)

- The best and recommended form and format for providing it.

Target audiences for project communications include ETF staff, employers, TPAs, members, and beneficiaries; the ETF Board; and other consultants engaged by ETF. For each target audience, the plan must set forth the types of communication to be provided, the description and purpose of each type, the expected frequency, and the appropriate methods / media for dissemination of information.

A variety of techniques may be included in the plan based on the vendor's experience in fulfilling communications needs in similar projects:

- Meetings and focus groups to provide feedback and promote stakeholder involvement
- Presentations to provide updates and to solicit support and sponsorship
- Orientation sessions to introduce the project, its phases and expectations
- Working sessions to develop requirements definition and resolve project issues
- Awareness campaigns to increase anticipation and "buy-in" and to present the advantages offered by the new solution
- E-mail communications / bulletins to report project status and describe new or anticipated features and capabilities; or to provide a vehicle for target audiences to ask questions and provide feedback
- Written reports to provide status updates on the progress being achieved
- Meeting notifications, agenda, and minutes
- Mailings to external stakeholders
- Others as may be required to effect a successful implementation (including coordination with ETF staff and ETF-retained Change Management consultants to achieve effective Change Management).

The proposal must describe the vendor's approach in detail and provide a sample Table of Contents of a Communications Plan delivered to a prior (or current) client.

C.6.2.2 CONCEPT OF OPERATIONS (COO)

To improve the end-users' understanding of the look and feel and capabilities to be expected in the new system – i.e., what will be delivered – the vendor will be required to produce a top-level Concept of Operations (COO) document defined below. The COO is to be delivered within the period specified in Table 30 in Section C.3 Project Timetable – Major Deliverables.

Following are critical requirements for the COO:

- It may not exceed 25 pages in length. There are two reasons for this limitation. First, the document must be "digestible" by the reader. Second, it forces the narrative to be at the appropriate level, i.e., a 'bird's eye' view of the new solution. For example, the COO may discuss the generation of retirement benefit estimates for members, but it will not discuss the specific retirement options from which the member can select, or the specific rules for calculating service credit. It should also include clearly delineated phases/phasing so the end-users can better visualize the phases and which functions/systems currently in use will be made obsolete.
- It may not include appendices or attachments.
- It must be targeted to, and understandable by, the <u>end-user community (not IT staff).</u>

- It must be delivered at the earliest possible point in the project, i.e., with the detailed work plan and schedule – prior to any requirements or gap analysis sessions.
- The delivery of the COO must be accompanied by vendor briefings describing the document and walking end-users through it.

Vendors are required to discuss the Concept of Operations in their proposals and to present a recommended approach. In their proposals, vendors must confirm their commitment to providing the Concept of Operations and establish their understanding of its purposes.

Vendors must also explain in their proposals how they propose to guarantee that requirements set forth in this RFP will be reflected appropriately in the COO – i.e., vendors must discuss in detail how they will establish the "traceability" of RFP requirements to the COO document. This requirement is especially significant due to the high volume of insurance (health, life, dental, LTD, etc.) programs and transactions supported and managed by ETF.

The COO must explain what the end-users should expect in terms of the new system's functionality and graphical user interface – e.g., processes, calculations, workflow, screens. End-users coming from the old legacy system may have no idea how the new environment will look and behave. The COO must address this topic.

The COO is to describe in end-user-oriented English (without technical terms) how the new solution will operate from the end-user's perspective. It must discuss how particular staff positions will interact with automated features of the new solution. Conversely, it must identify all processes that will continue to be manual in nature after the new solution is fully implemented. Process flow diagrams, as well as appropriate samples of screens, may be helpful and would be encouraged by ETF, but the page-length limitation cannot be violated.

The COO should describe the high level features (e.g., retrieving images of documents, faxing documents, printing documents and screen images), as well as the major business functions (e.g., enrolling members in either/or retirement and/or appropriate insurance programs, issuing refunds, posting service credit purchases, generating retirement benefit estimates) that will be available to the end-users. It should include a discussion of how data will be entered into and accessed from the new system, and how data will be automatically passed from screen to screen for the end-user's convenience.

In their proposals, vendors are required to provide a sample COO document and describe their approach to meeting this requirement. In addition, appropriate samples should be included in the proposal.

C.6.2.3 DEVELOPMENT METHODOLOGY OVERVIEW FOR END-USERS (DMO)

To improve the user community's understanding of the development process and the effectiveness of the deliverables review and revision cycle when the project is in progress, i.e., the development steps, the vendor will be required to produce a top-level, Development Methodology Overview (DMO) document defined below. The DMO is to be delivered within the period specified in Table 30 in Section C.3 Project Timetable – Major Deliverables.

Following are critical requirements for the DMO:

- It may not exceed 25 pages in length. There are two reasons for this limitation. First, the document must be "digestible" by the reader, an end-user. Second, it forces the narrative to be at the appropriate level, i.e., a 'bird's eye' view of the methodology
- It may not include appendices or attachments

- The DMO must be written to, and understandable by, the end-user community (not IT staff)
- It must be delivered at the earliest possible point in the project, i.e., with the detailed work plan and schedule – and prior to any requirements or gap analysis sessions
- The delivery of the DMO must be accompanied by vendor briefings describing the document and walking end-users through it.

Vendors are required to discuss the Development Methodology Overview document in their proposals and to present a recommended approach. In their proposals, vendors must confirm their commitment to providing the Development Methodology Overview document and establish their understanding of its purpose.

The DMO must describe, at a high level, how the system will be defined, designed, tested, and deployed, i.e., a summary of the vendor's development life cycle for the project – aimed at end-users.

The vendor must describe in a brief, high level fashion its proposed system development life cycle methodology. This explanation must be aimed at the end-user community. The intricacies of code design, development, and unit testing need not be addressed, since these activities will typically not involve the user. Instead, attention should be focused on the meetings and activities that will involve the end-users and the deliverables that the users will be required to review and approve – and how these areas of user involvement fit into the overall methodology. This part of the DMO will describe what ETF end-user staff must do, what the vendor must do, and what they must do together. Offerors are encouraged to use diagrams, pictures, and graphics to facilitate end-user understanding.

In their proposal, vendors are required to provide a table of contents of the document, describe their approach to meeting this requirement, and provide appropriate sample extracts.

C.6.2.4 OFFEROR ACTIVITIES BEFORE AND AFTER MEETINGS WITH ETF STAFF

ETF's ability to support the project is directly related to the amount of time available for ETF staff to dedicate to it in addition to their normal duties. ETF understands that the project cannot be completed without extensive input from our staff. Yet, other demands on their time and energy dictate that their project participation be highly efficient and productive. Therefore, certain procedures and guidelines must be observed when scheduling ETF staff to attend meetings and other project work sessions.

Prior to scheduling formal meetings with ETF staff, the vendor must fulfill the following requirements:

- Ensure that all vendor staff who will participate, no matter when they are introduced into the project, have read this RFP and reviewed all of its appendices as well as the vendor's proposal. Meetings with ETF staff should be used to clarify and expand upon the information contained in the RFP, NOT for a general review of its contents. No meeting time should be "wasted" in collecting and reviewing forms and letters, for example, since current forms, letters, and reports have been included in the RFP (see Appendix E.1).
- Prepare a specific, detailed meeting agenda and distribute it to all participants five business days prior to the meeting. By providing advance notice of what is will covered, participants can be better prepared to bring appropriate resource materials and to provide necessary input in an efficient manner. In addition, the need for follow-up meetings will be minimized.
- Attach to the agenda a description of the products and/or objectives that are expected to result from the meeting (e.g., design of a particular new system output, clarification of requirements in

RFP Section n). By defining the meeting's objectives in advance, discussions should be better focused with less temptation to wander into time-consuming digressions.

The vendor is required to provide minutes of all meetings held with ETF staff. (While ETF does not require that the vendor provide a scribe at each meeting for the purpose of taking notes, we would certainly encourage the practice.) The minutes are to be published at a mutually agreed-upon location within two business days of each meeting.

Further, when legitimate digressions do occur – e.g., discovery of an ambiguity in an RFP requirement that requires resolution – they should be added to the agenda of a subsequent meeting, rather than addressed in an *ad hoc* fashion at the original meeting. In other words, decisions that should be confined to one or two persons should not occupy a roomful of staff simply because they happen to be convened at the time the issue arose. The vendor will be responsible, via its planning and preparation activities, for ensuring that ETF staff time devoted to the project is utilized in the most efficient and productive manner possible.

C.6.2.5 HIGH LEVEL DEMONSTRATIONS OF BASE FUNCTIONALITY – CONFERENCE ROOM PILOTS

The vendor is required to provide multiple demonstrations (or "conference room pilots' {CRP}) of benefits administration functionality during the development of the new benefits solution. The demonstrations are intended to provide users with an opportunity to see the full member life cycle from enrollment, through withdrawal and refunds, re-enrollment, separation benefit buy back, retirement, return to work, change of address, beneficiary, plan, coverage by various insurances, etc. The objective is to develop user familiarity and comfort with the new solution – its look and feel, menu and screen navigation, and data entry features (pull-down lists, radio buttons, wizards, etc.) – as early as possible in the project and subsequently as successive detail is built into the solution. By doing so, ETF anticipates that users will be better able to provide reliable decisions and input relating to system design alternatives.

The initial demonstration need not reflect ETF-specific functionality. A hands-on presentation of the vendor's base solution will suffice. Note that this means more than showing a series of screens pre-populated with data – the intent is to have a live demonstration from which users can draw inferences about operations, performance, screen navigation, ask probing questions, etc. The presentation must include end-to-end transactions showing entry of new data, use of workflow tools, performance of relative calculations, and printed output if applicable. For that reason, the demonstration will be on the production equipment (when appropriate) and the database and all transaction files will be of similar size as those with which ETF works in their current operations. End users need to gain a level of appreciation for application speed and performance. The vendor must include a suggested set of scenarios for the initial, overall CRP as an attachment to their proposal. The selected vendor will work with ETF's Project Director to refine the proposed CRP scenario before the completion of Phase 3 of the project. The agreed upon scenario must be executed successfully. In the event the system fails to complete the scenario, the issues must be resolved and the scenario re-demonstrated successfully within five business days.

The initial demonstration should be scheduled as soon as possible in the project, but no later than Phase 3, i.e., the implementation of proposed hardware and software infrastructure. The vendor will facilitate each session, ensuring that all system users attend the conference room pilot in groups of manageable size.

A CRP demonstration should be repeated during the design / development effort for each functional rollout phase of the new solution. For each phase-related demonstration, the focus must be on the end-to-end business functionality that is to be delivered as part of that project phase.

Each CRP demonstration must be approved by the ETF Project Director. The mutually agreed upon criteria for such sign off will be part of the proposed CRP scenario discussed above.

C.6.3 STANDARD PROJECT MANAGEMENT DELIVERABLES (INTRODUCTION)

ETF understands that vendors will bring to the project their own project methodologies and standard deliverables. However, ETF has identified a set of project deliverables that the vendor must provide. They are described and defined in detail in the following subsections.

C.6.3.1 REQUIREMENTS TRACEABILITY MATRIX

To assist ETF in tracking all project requirements and deliverables, a Requirements Traceability matrix will be initially prepared by ETF, then completed and regularly maintained by the vendor. This section discusses the purpose of and detailed requirements for the Requirements Traceability matrix.

In developing the new integrated BAS for ETF, requirements will be defined in further detail at every step in the process. Prior to beginning work with the vendor, a number of steps will have occurred:

- Development of the RFP
- Issuance of questions by vendors and preparation of responses by ETF
- Receipt of the proposal from vendor by ETF
- Issuance of questions by ETF and preparation of responses by vendor.
- Cost and / or scope negotiations, if appropriate
- Execution of the contract.

The first two phases of the ensuing effort typically constitute project start up and planning, followed by the development of a detailed Requirements Definition. The third phase consists of the implementation of the project's hardware and software infrastructure. (Subsequent phases will include the phased rollout of user-oriented functionality and enabling technologies.) The vendor's proposal will have defined a number of processes, activities, and deliverables. Described in this section is a process and product (document) that will be prepared by ETF and the vendor as part of the effort to:

- Further, more-precisely define the requirements
- Provide a trail or "traceability" of requirements to be met – starting from the RFP, going through the proposal, the question-and-answer cycle, and contract negotiations, and culminating with the preparation of the requirements document
- Provide a common understanding for the "go-forward" activities of subsequent phases, including "what" will be delivered and "when" in the project's evolution it will be delivered.

The product that will be prepared by ETF and the vendor to achieve ETF's objectives will consist of a Requirements Traceability Matrix in the format of a Microsoft Excel workbook. The Excel workbook will consist of several spreadsheets corresponding to requirements areas, such as Benefits Administration, Technical, Miscellaneous, Software, Option 1, Option 2, etc. The matrix will include

at least ten columns, the contents of which are described below (and which may be modified if ETF so desires) and examples provided subsequently in Table 36 Requirements Traceability Matrix Example, Table 37, and Table 38.

1. **No.** – Sequential unique number, identifying the requirement. They are aggregated by major category (e.g., benefits administration requirements may be numbered B-1, B-2, etc., technical requirements may be numbered T-1, T-2, etc.). The unique identifier will follow each line item through the project, regardless of how the line items may be reorganized or "shuffled" among the various spreadsheets in the workbook.
2. **Requirement (Description) per Contract Exhibits / RFP** – A summarized description of the requirement.
3. **Source** – Identification of the source of the requirement. The source may be the RFP, the vendor's proposal, Q&A, BAFO, contract, contract exhibits, etc.; in some cases only one reference is made back to the RFP / proposal / contract, etc.; in others, multiple references are made. The source may also include and reference Enterprise Business Model scenarios, which will be identified in the Abilities section of the RFP, as well as Appendix E.21.
4. **Page / Section** – The location of the requirement in the source.
5. **Phase** – The phase of the project in which the requirement will be delivered per the project plan.
6. **SOW** – The vendor's Statement of Work which includes the requirement, if applicable.
7. **Received Date / Who** – The date the requirement was delivered to ETF (typically after passing VAT), and to whom it was delivered.
8. **Accepted Date / Who** – The date the requirement delivery was accepted by ETF and by whom it was accepted.
9. **Comments** – Any comments relating to the requirement. Comments will include, among other things, an explanation of what caused a requirement to be removed or added. This must be specific, citing specific conversations which have previously occurred between ETF and the vendor, the date and attendees, and the prior document which transmitted this information (including but not limited to meeting minutes, status report, and specific correspondence) to ETF. As stated elsewhere in this RFP, any agreement between ETF and the vendor to eliminate project requirements stated in the RFP, the vendor's proposal, or the contract must be in writing, executed by both parties.
10. **Test Case** – If applicable, identification of the test case that confirms that the requirement has been satisfied.

Activities on the part of both ETF and the vendor related to the traceability issue will include:

- First, ETF will prepare the matrix that codifies and organizes the requirements of the RFP and negotiated contract. An example of the matrix as it will be delivered to the vendor by ETF is shown in Table 36, below. ETF will complete columns 1 (No.), 2 (Requirement Description), 3 (Source) and 4 (Page / Section) and deliver it to the vendor for review.
- Next the vendor will review the matrix and verify its accuracy. Any discrepancies or differences in interpretation will be mutually resolved before the next step.
- Then the vendor will complete columns 5 (Phase of the project in which the vendor will implement the requirement) and 6 (SOW, the Statement of Work to be prepared by the vendor which will include the requirement).

- In cases where a function described in the RFP is not "carried" forward, the vendor will note this by providing a written explanation in the comments column (9) for that function. Further, if there are any new functions that have evolved during the requirements analysis, the vendor will add them as appropriate entries at the end of the matrix. An example of the matrix as it is to be completed by the vendor is provided in Table 38.
- The vendor will then provide the matrix to ETF for review.
- ETF staff will review the matrix – annotating any differences of opinion that they have with respect to the vendor's completion of the matrix. The annotated matrix will be returned to the vendor.
- Next, a meeting or series of meetings will be held at which discussions will occur to resolve any differences.
- Then the vendor will update the matrix so that it reflects the agreed upon changes, and it will become part of the deliverables from the Requirements Definition. If appropriate, any changes to schedule and cost will be identified at this time.
- ETF will provide the matrix to the vendor within the period specified in Table 30 in Section C.3 Project Timetable – Major Deliverables. The revised, updated, completed matrix will be provided to ETF by the vendor within the period specified in Table 30 in Section C.3 Project Timetable – Major Deliverables. The matrix will provide a more precise reference point for the "go-forward" strategy for the implementation phases.

Columns 7 and 8 will be filled in as portions of the project are completed by the vendor and delivered to ETF for review and acceptance. Column 10 will be filled in by the vendor as test plans, test scenarios, test cases, etc. are developed during the course of the project. Table 36, Table 37, and Table 38 on the following pages show three stages in the development of a small portion of a sample RTM.

Furthermore, the vendor will be responsible for tracking and matching project requirements, not only from the RFP (and associated amendments, questions and answers, vendor's proposal and any amendments thereto) to the design definition, but also through the requirement definition, design, and implementation activities. At any time, should ETF question how a particular requirement expressed in the RFP / procurement cycle will be addressed in the new system, the vendor must be able to demonstrate how that requirement was carried forward from the RFP into the proposal, the requirements definition, the system design, and eventually the final implementation.

Table 36 Requirements Traceability Matrix Example

1 No.	2 Requirement per Contract Exhibits / RFP	3 Source	4 Page / Section	5 Phase	6 SOW	7 Received Date / Who	8 Accepted Date / Who	9 Comments	10 Test Case(s)
B-1	Ability to capture user-defined parameters for calculating employer penalties and interest charges relating to late reports / remittances	RFP	C.4.4.13						
B-2	Ability to capture historical rates and factors with effective dates so that retroactive calculations use the appropriate figures	RFP	C.4.4.13						
B-3	Ability to capture a new employer's plan history (i.e., in previous retirement system) and make it available on-line	RFP	C.4.4.13						

Table 37 Requirements Traceability Matrix Example with Vendor Entries

1 No.	2 Requirement per Contract Exhibits / RFP	3 Source	4 Page / Section	5 Phase	6 SOW	7 Received Date / Who	8 Accepted Date / Who	9 Comments	10 Test Case(s)
B-1	Ability to capture user-defined parameters for calculating employer penalties and interest charges relating to late reports / remittances	RFP	C.4.4.13	4	6				
B-2	Ability to capture historical rates and factors with effective dates so that retroactive calculations use the appropriate figures	RFP	C.4.4.13	4	6				
B-3	Ability to capture a new employer's plan history (i.e., in previous retirement system) and make it available on-line	RFP	C.4.4.13	4	6				

1 No.	2 Requirement per Contract Exhibits / RFP	3 Source	4 Page / Section	5 Phase	6 SOW	7 Received Date / Who	8 Accepted Date / Who	9 Comments	10 Test Case(s)

Table 38 Completed Requirements Traceability Matrix Example

1 No.	2 Requirement per Contract Exhibits / RFP	3 Source	4 Page / Section	5 Phase	6 SOW	7 Received Date / Who	8 Accepted Date / Who	9 Comments	10 Test Case(s)
B-1	Ability to capture user-defined parameters for calculating employer penalties and interest charges relating to late reports / remittances	RFP	C.4.4.13	4	6	20070502 PPC	20070516 RK	None	CALC-1, -2, -3, & -8
B-2	Ability to capture historical rates and factors with effective dates so that retroactive calculations use the appropriate figures	RFP	C.4.4.13	4	6	20070502 PPC	20070516 RK	None	CALC-4 & -5
B-3	Ability to capture a new employer's plan history (i.e., in previous retirement system) and make it available on-line	RFP	C.4.4.13	4	6	20070502 PPC	20070516 CLF	Requires collaboration on format of transferred data.	CALC-6, -7, & -8

C.6.3.2 STATEMENTS OF WORK

All work to be done under the contract to be awarded will be covered by written Statements of Work (SOW) authorized by ETF, which define reasonable components of work. Thus, reasonable ”chunks” of work will be defined, executed, and managed. When viewed in the aggregate, these “chunks” comprise the entire project.

The vendor will submit detailed written SOWs to the ETF Project Director/CORE Team for review, possible revision, and acceptance. ETF will require up to ten (10) days to review and authorize a SOW. Therefore, the vendor must factor in this review period when scheduling its activities under the contract. Under no circumstances, will any work be done absent a SOW duly authorized by the ETF Project Director or his or her designee.

Conversely, the vendor will not issue SOWs for work to be done in the distant future – i.e., “banking” of SOWs will not be permitted. While ETF understands the vendor’s desire to be able to schedule its personnel as far in advance as possible, ETF’s objective is to ensure that SOWs are developed in a “just-in-time” fashion in order that they reflect the project’s most recent developments – and ‘downstream’ SOWs benefit from the experiences of the upstream SOWs. ETF wishes to avoid having work conducted under “stale” SOWs. Therefore, the vendor will deliver each SOW no sooner than the period specified in Table 30 in Section C.3 Project Timetable – Major Deliverables prior to the date that work under that SOW is scheduled to begin. If work on a particular SOW does not begin within that same period of ETF’s authorization of the SOW, then ETF reserves the right to require that the SOW be re-issued and re-authorized prior to commencing work thereunder.

This provision provides the vendor with a “grace period” equivalent to the period elapsed between delivery of the SOW and ETF’s authorization of it. For example, if the period specified in Table 30 is 30 days, the vendor may deliver an SOW on day 0 for work scheduled to begin on day 30. If ETF takes the full ten days to authorize the SOW, then the vendor may begin work at any time between day 10 (when the SOW is authorized) and day 40 (30 days after authorization). If work under the SOW does not begin by day 40, however, ETF may require that the SOW be re-issued and re-authorized prior to commencing work.

In their proposals, vendors are to confirm their understanding of the above stated requirements relating to SOWs and their timing.

For the total project, the vendor will develop, submit, and receive approval from ETF for no more than ten [10] SOWs addressing the activities within the project. ETF and the vendor will mutually agree on the format of the SOW within thirty (30) days of the start of the project.

C.6.3.3 WEEKLY STATUS REPORTS AND PROJECT STATUS MEETINGS

The vendor will submit written weekly status reports and to facilitate weekly project status meetings. The status reports must include separate sections that cover all parallel parts, tasks, phases, or aspects that were in progress or were completed during the reporting period, that will be begun during the next reporting period, and all outstanding issues, referencing back to the project plan as applicable.

ETF understands that, given the project’s magnitude, comprehensive weekly status reports may be lengthy and highly detailed. Any status report that exceeds five pages in length must be accompanied by a one-page management summary.

Vendor's proposal must include samples of previously used status reports on other similar projects. The final format of the status report will be mutually agreed upon between ETF and the vendor within thirty (30) days of the project start date.

C.6.3.4 EXECUTIVE LEVEL REPORTING

In addition to detailed project status reports, the vendor will be required to produce a monthly executive level report presenting project summary information targeted at an executive audience (e.g., project sponsors, TIM Steering Team, the ETF Board). This report should provide a succinct monthly summary of the project's status against key indicators and furnish decision makers with an analysis tool and communication vehicle for proactive planning and risk mitigation. The objective is to keep executives and sponsors aware of the project's status in order to enable prompt decision making aimed at restoring the project's health when problems develop – e.g., decisions to enlist additional resources, appropriate additional funds, and/or adjust the project's scope.

To the extent possible, executive level reports should make use of graphics to depict the status of the indicators listed above. Such reports are frequently characterized as 'dashboard' or 'critical success factor' reports. Samples of Executive status reports used at other clients should be included in the vendor's proposal.

C.6.3.5 MONTHLY TIM STEERING COMMITTEE MEETING

Successful projects require constant communication among all parties and well defined structures for maintaining control, reviewing progress, settling disagreements or amending the project based on exigent circumstances. The TIM Steering Committee (currently meets weekly and will establish a monthly meeting dedicated to vendor status report and discussion) meeting represents an opportunity to bring together the major stakeholders on a regular basis to accomplish, among other things, the following:

- To monitor the progress of the project as it relates to the overall project work plan
- To facilitate the resolution of disputes or provide additional clarification of issues at the highest level
- To encourage collaboration among all of the participants by reminding them that the project enjoys support at the highest levels within the organization.

Meetings with the ETF Steering Committee, the vendor and other key stakeholders will be scheduled on a monthly basis. The vendor's Project Manager, and other vendor senior staff as appropriate, will be required to attend each of these meetings.

As requested by the ETF Project Director, the vendor's Project Manager may occasionally be required to deliver a presentation on pertinent topics at the Steering Committee meeting.

Prior to each Steering Committee meeting, the vendor's Project Manager will meet with the ETF Project Director and others as deemed appropriate by the ETF Project Director in order to develop the meeting agenda (at least three days prior to the actual meeting).

No later than two business days after each Steering Committee meeting, minutes of the meeting will be prepared and distributed by the vendor to all meeting participants and all other project participants who are affected by the meeting's outcome.

C.6.3.6 GAP ANALYSIS

It is anticipated that the vendor's early efforts in developing the benefits administration system will consist of collaborative efforts between vendor staff, ETF users, and ETF IT staff to identify the differences between the functionality that exists in the vendor's base benefits administration application and ETF's specific requirements. This portion of the project may be termed GAP analysis, requirements definition, etc. depending upon the vendor's development methodology. Particularly since ETF has used the term functional requirements analysis in the context of gathering of requirements (Section C.4.1 Vendor Responsibility for Detailed Requirements Definition), for the purposes of this discussion, we will call the determination discussed here GAP analysis.

Vendors are to take note that ETF considers it essential that both ETF business users and IT staff who support the legacy system will be actively engaged in the GAP analysis – since they are often, in many areas, equally knowledgeable (but with a different perspective) about both the "as is" current environment and the desired "to be" environment than are the users. That said, decisions about functionality being included or excluded in a particular scenario, require approval by the ETF Project Director. Participation must be carefully scheduled; ETF believes that identification and invitation are a joint responsibility of the vendor and ETF project leads.

During the first GAP analysis session on a given topic, the vendor must excerpt from the Requirements Traceability Matrix / RFP and review with the users and ETF IT staff what the Requirements Traceability Matrix / RFP expressed for requirements on that topic.

The RFP requirements will ALWAYS pertain unless, during GAP analysis, the business users agree to eliminate an RFP requirement AND a written agreement to that effect is prepared by the vendor and signed by the ETF Project Director. If ETF agrees to such a "reduction" in requirements during GAP analysis, the vendor will not be expected to reduce its fixed price. However, the vendor will, as part of the written agreement to eliminate the requirement, issue ETF a "credit memo" which estimates the dollar value of the effort that is avoided by virtue of eliminating the requirement. ETF will be able to apply all such credit memos to offset the cost of future Change Control Requests (CCRs). The vendor must describe in its proposal how the "credit" would be determined based on the effort avoided due to the reduction in requirements.

If at a later date, ETF wishes to restore a requirement that it had agreed in writing to eliminate, then that requirement is subject to a CCR. In that event, however, the cost of the CCR cannot exceed the value of the credit memo that was earlier issued by the vendor for eliminating that requirement.

Vendors must take note of, and confirm in their proposals, the following: **under no circumstances will ETF's approval of system design and/or specifications abrogate the RFP requirements.** ETF staff invested a great deal of time in developing the RFP requirements. The vendor, not ETF staff, is responsible for ensuring that all RFP requirements are correctly reflected in vendor design and/or specification documents. Absent a specific written agreement to eliminate or modify an RFP requirement, signed by the ETF Project Director, that RFP requirement will remain operative.

The vendor will provide a sample GAP document template for review and modification by ETF prior to starting the first GAP session. The GAP document will clearly identify what required functionality exists in the base-benefits administration application and what functionality has to be added or modified to conform to or satisfy ETF's requirements. If the GAP documents are silent on a requirement and no written agreement pertaining to eliminating it is authorized, then ALL RFP provisions pertaining to that requirement will stand.

Vendors are required, as a part of their proposal, to provide a written description of the methodology they use in accomplishing the GAP analysis discussed above. The description should be

accompanied by appropriate supporting sample documents (e.g., sample GAP meeting schedule, sample meeting agenda, sample meeting summary). ETF is particularly interested in understanding the "How To" training given to vendor's GAP analysis meeting facilitators, providing instructions on issue "parking," issue resolution, etc.

ETF is also very interested in understanding how, during the determination of requirements, the vendor plans to communicate to ETF staff the details of "How?" a requirement will be met (in addition to the "Yes, it's in there," response that leaves the "What it looks like" question unanswered.) What ETF wishes to avoid is agreement and approval on the existence of a function, only to find later that there was great mis-understanding on the part of ETF staff. To this end, ETF staff will be instructed not to approve requirements and specifications that they do not understand (typically through a vendor walk-through or prototype).

C.6.3.7 CHANGE ORDERS, CHANGE CONTROL, AND REPORTING

This section includes requirements pertaining to change control, change reporting, and the management of the integration of changes over the course of the project.

C.6.3.7.1 CHANGE ORDERS

It is to be anticipated in a project of such magnitude that ETF will make periodic requests for changes in the new solution. Such changes will typically incur additional costs and possibly delays relative to the project schedule. The ETF Project Director will provide all such change requests in writing to the vendor's Project Manager. The vendor's Project Manager will respond to such change requests with a written proposal for completing the change. The vendor's proposal for implementing the change – i.e., the change order – must be delivered to ETF by the vendor within ten (10) business days of the vendor's receipt of the written request for the change. The change order must define the effort involved in implementing the change, the total cost of implementing the change, and the effect, if any, of implementing the change on all pertinent project schedules. Additionally, if the change requested will require future programming efforts to the base benefits administration application upon each new release of the software, that time/effort should also be noted so ETF can better understand the immediate and ongoing implications of making the change.

It must be understood by the vendor that ETF will not pay for the effort involved in developing the change order. Just as the vendor bears the cost of developing its proposals in response to this RFP, the vendor will bear the cost of estimating the cost, time, and manpower required to implement all change requests forthcoming from ETF during the course of the project. Vendors are cautioned to factor into their proposed approach, cost, and manpower estimates sufficient resources to respond to ETF's change requests as they arise throughout the project.

Vendor responses must describe the full completion of the work requested, including testing; a response that describes the cost for an analysis and plan will not be acceptable.

C.6.3.7.2 MISCELLANEOUS CHANGE ITEMS

It is the vendor's responsibility to ensure the "currency" of the benefits administration application software for any State or Federal legislation that is in effect at the time of contract signing, regardless of whether or not the legislation existed at the time the vendor's proposal was submitted. Likewise, it is expected that any changes to meet new Federal legislative guidelines will be included and supported by the vendor solution in a timely manner (under the software maintenance agreement) to meet any timeframes in legislation. It is understood that all State required legislative

changes impacting the system will be considered as change orders and accounted for as noted in C.6.3.7.1 above.

C.6.3.7.3 CREDITS FOR UNNEEDED DELIVERABLES

If it is determined after contract approval that some deliverables or portions of deliverables are not needed, a credit may be due to ETF. The vendor should be prepared to demonstrate how it arrived at the credit amount if the deliverable prices are bundled. The vendor should use the hourly rates quoted by the vendor in Schedule 3 of their Cost Proposal when determining the credit to be applied for the work items that are no longer needed.

C.6.3.7.4 CHANGE REQUEST REPORTING

Vendors must provide evidence in their proposals that they have in place and will utilize an automated and demonstrable Change Request Reporting (CRR) system for managing and facilitating change requests. That evidence might consist of screen shots and accompanying narrative or whatever other vehicle the vendor chooses to use.

The vendor must deliver a detailed Change Control Plan / Methodology for use throughout the project within the period specified in Table 30 in Section C.3 Project Timetable – Major Deliverables.

C.6.3.8 PROBLEM INCIDENT REPORTS

Vendors must provide evidence in their proposals that they have in place and will utilize an automated and demonstrable problem incident reporting (PIR) system for managing and facilitating test-related activities as well as production problems. The PIR system can be custom developed or a package – although a commercial off the shelf approach is far more desirable to ETF. A manual approach using a word-processor, email, or electronic spreadsheet document is not acceptable. The vendor is required to describe the proposed PIR system in its proposal.

The PIR system must offer at least the following attributes:

- It must provide ready, secure, distributed access to ETF, the OPM / IV&V / QA consultant, and the vendor for the purpose of determining individual problem status as well as general system status and quality trends
- It must define how PIRs will be initiated, uniquely identified, and logged, and by whom
- It must relate each PIR to the particular functional area (e.g., employer reporting, benefit estimates) or appropriate area, e.g., training, documentation, etc.
- It must relate each PIR to the appropriate test variant / scenario / case / data set
- It must record both the expected and actual test result as alphanumeric, numeric, or date as appropriate to the PIR
- It must track the status of, complexity of, and priority accorded to each PIR
- It must provide for relating PIRs to change orders when appropriate (in those cases where what was originally thought to be a problem incident is actually determined to be a request for a design change)
- It must track the scheduled fix delivery date
- It must track the fix release number through which the PIR was addressed

- It must provide for tracking efforts to correct the problem and the eventual resolution of the problem incident
- It must include a summary / reporting mechanism as described below
- A manual approach using WORD, email, or Excel documents is not sufficiently robust and is therefore not acceptable; however, the system must be capable of automatically exporting information to those systems to facilitate reporting or assignment to others.

The desired monthly reporting mechanism should summarize current and "phase-to-date" PIRs and include graphics capabilities showing trends in problem incident reporting and resolution, as well as the existing backlog of PIRs at any point in time and amount of time (maximum, minimum, average) to close out and correct PIRs. Examples of the summary / trend information of interest to ETF include (at both individual functional or business area levels, delivery phases, as well as the project in total):

- Number of test cases for the phase, cases to execute and cases executed – for the phase and for each benefits administration area.
- Number of test case data sets for each executed test case.
- Number of executed test cases with one or more PIRs (opened or closed).
- Number of test cases undergoing rework.
- Number of test cases awaiting or undergoing retesting.
- Number of open PIRs at any point in time.
- Number of closed PIRs since the beginning of the project and the beginning of the current phase.
- Number of PIRs opened / closed in the last week/last month.

A detailed listing of the information of interest (not just a summary total), as outlined above, must be made available in printed format. For example, referring to the first item in the list, the PIR system must provide a list of the test cases for the phase, a list of the cases to execute and a list of the cases executed.

After contract award, the proposed PIR system will be presented to ETF in detail within the period specified in Table 30 in Section C.3 Project Timetable – Major Deliverables.

The vendor will provide training to appropriate ETF staff as necessary to facilitate their use and understanding of the PIR system. No user testing will proceed until the PIR approach has been presented to, reviewed by, and accepted by ETF.

In addition, the vendor will be required to implement a methodology for classifying PIRs. Such methodology should include conducting joint meetings with ETF (at mutually agreed to intervals but minimally monthly) to determine the classification of PIRs. Classifications may be either warranty related, where the vendor bears the cost of the modification, or non-warranty (i.e., system enhancement, design change, etc.) related, where the vendor will provide a cost estimate to ETF. Vendors must fully describe their methodology for classifying and prioritizing PIRs in their proposals, including representative examples of each of the proposed classes of problems, e.g., a P0 problem has no workaround and hangs or crashes the system, making execution of at least one major function of the BAS inoperable.

At the conclusion of the project, the vendor must provide ETF with a copy of the PIR system and the complete database of all reported problem incidents (including those found and reported by the

vendor test staff as well as those reported by ETF) for the project. In addition, as part of the leave-behind, the vendor will provide documentation and training (for both historical look-up and future administration and use) for ETF administration and IT personnel as appropriate.

C.6.3.9 RISK MANAGEMENT

Risk management includes identification, analysis, planning, tracking, control, and communication of risk areas associated with all project phases. Risk assessment and management are on-going tasks in any project. The vendor must demonstrate that it can provide a risk management (analysis and mitigation) strategy and methodology that can be used throughout the project to monitor potential risks and to develop mitigation strategies in anticipation of any problems that may arise. Then, based on feedback, assessments can be updated on a continuing basis for the duration of the project. While some risks can be identified from the outset of a project, others will emerge in the course of the project's life cycle.

The risk management strategy and methodology should address how the vendor proposes to accomplish the following:

- Define measures of success and set targets
- Identify key assumptions
- Identify, analyze, and document risks that threaten the ability to achieve the success targets and share plans with ETF's Risk Management coordinators
- Develop and document mitigation strategies for each identified risk
- Specify tasks to implement the mitigation strategy
- Build consensus on appropriate mitigation strategies
- Establish criteria for escalating risks
- Enlist support for mitigation steps that are outside of the project's direct control
- Monitor and report on risks.

The vendor is required to provide as part of their response a list of the top twenty risks they currently foresee with this project, their assessment of the probability of their occurrence, and the steps they will take to avoid or mitigate those risks.

On a monthly basis the successful vendor will be required to:

- Conduct formal risk assessments
- Review the status of project risks with the ETF Project Director to ensure that new risks are identified and that appropriate mitigation strategies are in place
- Report on the project's risk status.

After contract award, the proposed Risk Management Reporting Methodology will be presented to ETF in detail within the period specified in Table 30 in Section C.3 Project Timetable – Major Deliverables.

C.6.3.10 REPOSITORY FOR WRITTEN DELIVERABLES

During the course of the implementation of the new system, numerous written deliverables will be provided to ETF by the vendor. These deliverables can be expected to range from requirements

meeting notes, to vendor's status reports, to operations manuals, etc. Many of these items will be delivered in multiple versions.

The vendor may choose to deliver project documents in PDF format. However, ETF requires that all documents also be delivered in the appropriate Microsoft Office suite (current or immediately previous revision) document format with no locks, inhibitors, etc., that restrict the use of track changes or comments. Starting with the response to the RFP and continuing through the last written deliverable on the project, the vendor is to use MS Project, MS Visio, MS Excel, MS Word, and/or MS PowerPoint as the file format for all written deliverables.

It is imperative that all versions of all documents delivered at any point in the project and at the end of the project can be identified, located, and accessed by both vendor and ETF staff as needed. Therefore, the vendor must maintain for the life of the project (and leave it behind upon the completion of the contract) a repository of all written project deliverables in electronic form residing on one of the system servers. The deliverables must be accessible to all project participants, including via the Internet.

The deliverables repository must be designed and organized, with appropriate training provided, such that ETF staff can efficiently locate and retrieve any document of interest. Write permission to the repository must be suitably restricted. While anyone involved in the project should be able to access all repository items, the ability to add to, delete from, or modify the repository's contents must be strictly controlled and restricted to authorized vendor personnel. It will be the vendor's responsibility, throughout the project until final turnover, to guarantee the continuous correctness and completeness of the repository's contents as well as its periodic backup.

Vendors are to describe in their proposals:

- Their commitment to satisfying the requirements for the deliverables repository
- Where the repository will be located, how it will be backed up, and how it will be recovered in the event of an equipment failure
- How they propose to organize the repository for ease of use and access
- How they will control the repository to guarantee, on a continuous basis, the correctness and completeness of the repository at any point in time
- Their commitment to produce a document (which itself must be included in the repository) describing the deliverables repository, how it is organized, how items from it can be accessed, and how to recover the repository if necessary
- Their commitment to train ETF staff in the use of the repository (including an administrator, managers, and end-users)
- If third party tools are utilized they should be "industry standard" – not proprietary. (The tools are to be provided by the vendor – and their price included in the vendor's cost proposal.)

C.6.4 PROJECT STAFFING

In addition to requiring the project staffing plan described below, ETF has a number of other project staff-related requirements as indicated in the sections that follow. We start with an overview of the staffing that ETF plans to supply to the project. In addition to the requirements outlined below, ETF reserves the right to request additional vendor-supplied staffing to assist in implementation of the project.

C.6.4.1 ETF PROJECT STAFFING

ETF will offer the staff resources designated below to facilitate and support all aspects of the project. Our objectives for involving ETF staff are to ensure ETF's ability to administer, support, maintain, and enhance the BAS upon project completion, and to lower total project cost by leveraging our own highly skilled business and technical resources. However, notwithstanding the availability of ETF resources, all cost projections and labor requirements must be formulated on the basis that the successful vendor will be responsible for all task completions. The vendor should review Sections C.7.3.1 User Training and C.7.3.2 Technical Staff Training for ETF expectations on vendor requirements for training of ETF staff.

ETF will utilize the Director of the Project Management Office (ETF Project Director) for overall administrative and technical direction of the project. The Director will have the responsibility for the general direction of all work performed. The successful vendor's Project Manager will report to ETF's Project Director. The responsibilities of ETF's Project Director will be primarily strategic. Supervisors reporting to the ETF Project Director will operate as a Project Management Office for the project and be responsible for day-to-day decisions. The successful vendor's Project Manager will interface with the appropriate members of the project PMO in accomplishing successful completion of the overall project.

The following non-technical roles will participate on the ETF Project Team. In some cases multiple roles will be filled by a single individual:

- **ETF Project Director (PMO Director)** provides direction on high-level project issues. Coordinates with other management including escalation and resolution of issues involving staffing or issues requiring management decisions. Manages and coordinates overall project operations. Interprets and applies the policies, procedures, laws, and regulations pertaining to assigned programs and functions. Coordinates communication activities with other divisions, outside agencies, and ETF's external stakeholders. Provides clear and concise communication, both oral and written. Establishes, maintains, and fosters positive and harmonious working relationships among those contacted in the course of work.
- **ETF Project Plan Coordinator** coordinates project development, process review and redevelopment. Analyzes problems, identifies alternative solutions, project consequences of proposed actions, and implements recommendations in support of goals. Provides responsible and complex staff assistance to project coordinators. Reviews all documentation pertaining to the implementation of the project.
- **ETF Outreach staff** will assist the successful vendor in identifying stakeholders impacted by the new system and defining different outreach efforts for each, establishing and providing help desk functions, and providing change management/communication to staff
- **ETF Contract Management/Budget staff** will prepare and oversee the annual spending plans, purchases and payments, coordinate and track project staffing plan, recruitment, and performance reports, oversee planning and management of office space, and maintain inventory of space and equipment
- **ETF Quality Assurance staff** will assist the OPM vendor with developing standards and guidelines for deliverables, reviewing and monitoring risk management plans, developing and coordinating quality assurance training programs for project staff, and reviewing an issues management plan. The QA staff will also work with the OPM vendor to develop and monitor the Requirements Traceability Matrix (see Section C.6.3.1 Requirements Traceability Matrix)
- **ETF Business Analysts** will assist in the development of business requirements, business rules, and other system development documents, coordinating subject matter experts for testing

(e.g., regression, unit and system, etc.), and assist in providing training and orientation for staff, employers, and other external stakeholders

The following technical roles will participate on the ETF Project Team:

- **ETF Data Administration staff** will assist in development, implementation, conversion, and maintenance of detailed technical designs and procedures for data modeling, capacity planning, database performance analysis, tuning, monitoring, and database management in accordance with ETF's existing systems standards as well as any other applicable standards. In addition, they will assist in data cleansing/migration activities of legacy system data to the new environment
- **ETF System Architecture staff** will assist in the development of the system architecture requirements and design including network, hardware, data models and database design, configuration, and system security. They will also ensure that needs are met and the proposed system is capable of integrating with existing ETF systems and complies with ETF network and security standards.
- **ETF Security staff** will assist in developing monitoring policies and controls, security policies and controls, security procedures, guidelines and standards and security reporting requirements, as well as assessing the impact of those requirements on the system and data.
- **ETF Software Administration staff** will assist in the loading and system performance of the procured software, change control (i.e. configuration management), monitoring and fine-tuning overall system performance, maintaining software reliability and effectiveness through updates, upgrades, fixes and patches, and developing policies and procedures for maintaining the system.
- **ETF Application Development staff** will assist in development of public Web, internal BAS, and unattended processing applications including design, construction, and implementation. They will also assist in ensuring new BAS applications are capable of integrating with existing systems. In addition, application development and other IT staff will perform and assist with data cleansing/migration activities of legacy system data to the new environment.

ETF has experienced remarkable success in attracting and retaining highly knowledgeable technical staff with advanced skills beyond those found in most public sector organizations. We plan to utilize these staff both for post-implementation support and for the development phases of BAS implementation. With respect to technical roles, ETF recognizes that the value of current skills and skill levels will depend on the underlying technology used in the BAS. To assist vendors' determination of the optimal mix of vendor and ETF technical staffing, we provide the following skills matrix to better describe our highly-talented technical staff:

Table 39 Current ETF Technical Skills

STAFF ROLE	SKILL	CURRENT SKILL LEVEL AND STAFFING
Data Administration (four individuals)	DB2 Database Administrator	Expert at logical and physical administration of DB2 for zOS: three individuals
	SQL*Server Database Administrator	Competent at logical and physical administration of MS SQL*Server and related tools: two individuals

STAFF ROLE	SKILL	CURRENT SKILL LEVEL AND STAFFING
	SQL*Server Reporting Services	Competent at query/report generation: one individual
Data Modeling	Logical Data Modeling	Expert: one individual
System Architecture (two individuals)	Hardware, Network and System Software	Expert at configuring and implementing MS Windows and Red Hat Linux servers: two individuals
	Web Application Design & Administration	Expert at configuring and implementing Websphere Application Server and Web Server implementations, including redundant failover configurations: two individuals
	Application Architecture	Expert: one individual
Security (two individuals)	LDAP	Expert at design, configuration and use of MS Active Directory: one individual
	CISSP	Certified Information Systems Security Professional: one individual
Software Administration (two individuals)	System Software Administration	Expert at installing, patching and monitoring MS Windows Server and Red Hat Linux: two individuals
	Software Development Administration	Expert at design and configuration of CVS, Atlassian Confluence Wiki, Atlassian Jira Issue and Project Tracking, Hudson Configuration Management/Build/Deploy, IBM RAD and Eclipse IDEs and similar: one individual
Application Development (22 individuals)	zOS Mainframe (10 individuals)	Expert (six individuals) or competent (four individuals) in mainframe COBOL, CICS, batch JCL and related mainframe utilities (e.g. SORT, SAS) for DB2 application development
	Java Web (12 individuals)	Expert (seven individuals) or competent (five individuals) in web-based Java and SQL database programming using Spring/Struts frameworks, XML, HTML, JavaScript, JSP Competent in Apache Tiles, Java Server Faces (JSF), Sitemesh: three individuals
	SQL Programming	All application development staff are competent SQL programmers
	Web Services	Competent in building and consuming Java-based web services: four individuals
	Batch Scripting	Competent with PERL: five individuals Competent with Python: two individuals

STAFF ROLE	SKILL	CURRENT SKILL LEVEL AND STAFFING
Application Architecture	Application Architecture	Expert in best-practice software architectural principles and the use of design patterns for web applications: four individuals

ETF expects our current staffing levels for both technical and non-technical staff to be sufficient to support the new BAS on completion of the project, although roles may change based on need. During this project however, individual assignments will move people from legacy system support to the BAS implementation. These assignment changes are intended to be permanent and full-time; our intent is to *not split* any individual's assignment between the project and legacy support. With this as a guideline, proposers should include in their staffing plan recommended numbers of ETF staff by role/skillset at suitable milestones within the overall project.

We understand that the selected vendor will be appropriately tentative in assigning ETF resources to deliverables and fully expect initial assignments to be on less than critical elements of the solution. However, we also expect ETF's staff to prove themselves the equal of the vendor's in many ways and therefore look forward to working with the vendor to assign ETF staff to tasks of which they are capable.

C.6.4.2 VENDOR-PROVIDED PROJECT STAFFING PLAN

The vendor must include in its proposal a preliminary project staffing plan. This plan must lay out the reporting structure of the vendor's team that will be assigned to the effort and illustrate how this reporting structure fits into the vendor's overall organizational structure.

The staffing plan must include estimates of the number of full-time staff necessary for loading of project phases, broken out by staff category (including but not limited to managers, supervisors, analysts, programmers, users, trainers, and subject matter experts), differentiated by vendor (prime contractor) staff, subcontractor staff, <u>and ETF</u> staff. In a second presentation, number of full-time staff necessary for loading must be estimated by staff category by month for the duration of the project. The staffing plan is to include appropriate totals so that ETF can identify total hours to be expended, per phase and for the entire project, by vendor staff and (separately) by ETF staff – i.e., subtotaled by vendor and by ETF and totaled across the project.

ETF is interested in how the vendor proposes to accommodate personnel problems should they arise. The vendor must include in its project staffing plan a description of the steps that will be taken should it become necessary to replace personnel assigned to the effort due to illness, termination of employment, disciplinary problems, or similar situations.

C.6.4.3 ALL PERSONNEL

All vendor staff members and subcontractor staff members assigned to the project who may interface with ETF staff must have read both the RFP and the vendor's technical proposal, as well as any clarifications to the technical proposal, to gain an overall understanding of the project and its objectives, <u>prior</u> to interacting with any member of ETF staff. <u>Signed and dated certifications that vendor staff members have read the above documents must be kept on file and may be requested by ETF for review.</u> Under no circumstances will such an initial familiarization with the RFP, project objectives, current operating environment, desired functionality or other project objectives or requirements be provided by ETF staff members.

And because personnel should be familiar with the contents of the RFP, after award of the contract to the vendor, it will be the vendor's responsibility, prior to requesting any material, to review the RFP and its appendices first. If after reviewing that material, samples of any forms, letters, reports, procedures, etc. are found not to be in the appendices, then the vendor will request them from ETF staff.

C.6.4.4 VENDOR PROJECT MANAGER

The vendor's proposed Project Manager must be assigned to the project full time, and his/her duties must be focused exclusively on the management and coordination of the project. He/she will be the primary on-site customer liaison, responsible for coordination, scheduling, delivery of a quality work product, and resolution of issues. He/she must have no responsibilities relating to design, development, testing, or training. Nor may he/she work on projects for other customers of the vendor. The Project Manager will be required to be on-site at least 80% of the time, i.e., at least four (4) days per week on average. He/she will be responsible for working closely with ETF's designated Project Manager, generally on a daily basis, either in person or via telephone and/or email.

The vendor must agree that its proposed Project Manager will remain continuously assigned to the project (except in the case of death or termination of employment – or with ETF's approval) for at least the first two years of the project's duration. Following that period, should the proposed Project Manager be rolled off to another assignment, he/she must be replaced by a deputy Project Manager or other similar leader who is already on the project and familiar with the proposed solution, with the members of the vendor project team and with ETF. Vendor must provide notice in writing of any such proposed change at least one calendar month prior to the actual substitution, and the exchange of personnel must be approved, also in writing, by the ETF Project Director. In all instances of exchange, ETF reserves the right to approve the candidate proposed by the vendor as a replacement.

The vendor's Project Manager is to be authorized and empowered by the vendor to make binding commitments to ETF relating to the project and the vendor's scope of activities (but not necessarily relating to the terms and conditions of the contract between ETF and the vendor's firm).

C.6.4.5 VENDOR DATA CONVERSION LEAD

The vendor's proposed Data Conversion Lead must be will be responsible for working closely with ETF's designated Data Lead and the ICON staff to develop the data security and conversion plans and to lead the vendor's execution of same during the life of the project. The Data Conversion Lead will participate in data mapping sessions, provide expert knowledge of how each data field will be used in the new BAS solution, work with his or her ETF counterpart and data conversion staff to resolve all data-related issues, and to respond to data-related questions.

C.6.4.6 KEY VENDOR PERSONNEL

Key vendor personnel must be identified in the staffing plan, and the vendor must commit that these staff members will not be reassigned for at least a year following the commencement of the portion of the project for which they are responsible (i.e., should the documentation coordinator be identified as one of the key personnel, that individual cannot be reassigned until documentation planning and development has been underway for at least a year) without ETF's prior written agreement. At a minimum, key personnel to be identified include the Project Manager (see discussion below), the lead business analyst or Deputy Project Manager, the Data Conversion lead, and at least four (4) additional senior full-time staff members.

The vendor must agree in its proposal that it will pay to ETF a penalty of $50,000 (per person removed) should it remove from the project any of the seven (7) designated key staff members identified above or any other staff member who was more than 50% dedicated to ETF's project, except in the case of staff rollover due to serious illness, death or termination of employment with vendor. This penalty will be paid to ETF no later than five business days after the last day that the staff member in question works on the project. ETF reserves the right to deduct this penalty from whatever payments may be due the vendor or to invoice the vendor for it separately.

For all key personnel being proposed to ETF, the vendor must identify all other projects / procurements on which the same staff members are currently working and / or for which the same staff members are being proposed. Further, the vendor must describe its approach for resolving the situation wherein, if it is awarded ETF's project (and possibly another(s) for which the staff member is also proposed), it plans to resolve the resulting staffing conflict.

The vendor must provide a list of all its active retirement projects (development and implementation) that are ongoing at the time the proposal is submitted to ETF and describe its approach for supporting this project in view of those prior commitments.

C.6.4.7 REPLACEMENT OF VENDOR PERSONNEL

The vendor's staff volatility index (i.e., percent turnover over the past three (3) years and how that number is calculated) for both staff leaving the vendor's company and for staff reassigned from one customer's project to a different customer's project must be provided in the proposal. These volatility indexes should be provided both for the entire company and for each of the referenced public employees' or teachers' retirement system implementation projects.

The skills of the replacement individual for any staff member who is removed from or leaves the project for any reason must match or exceed the replaced staff member in terms of skill level and experience. ETF reserves the right to approve/reject the replacement prior to assignment as well as at any time during the project. (Such right of rejection will not be exercised unreasonably by ETF.)

Further, any replacement (planned or otherwise) not occasioned by illness or sudden death must be assigned at least two weeks prior to reassignment of the staff member being replaced in order that a smooth, effective transition / transfer can occur. In such an event, a transition / transfer plan must be provided to ETF in writing two weeks prior to the start of the transition. In their proposal, vendors must include a sample of such transition plans. Per ETF's standard terms and conditions, ETF reserves the right to ask for any vendor staff member to be replaced at any time if for some reason that staff member is not fitting in to the organization or is underperforming.

C.7 PROJECT-SPECIFIC SERVICES AND DELIVERABLES

The previous sections itemized ETF's requirements with respect to the project management of the BAS project. In addition to the conduct of the project from a management perspective, there are several areas important enough to deserve individual treatment. They include:

- Data
- Documentation
- Training
- Testing
- Transition to ETF.

C.7.1 DATA

The following sections set forth the vendor's responsibilities relating to the migration of data from the legacy environment (including a temporary cleansing database) to the new solution as well as the precautions the vendor is expected to take to ensure the security of ETF's member and retiree data.

C.7.1.1 DATA SECURITY

The security of ETF's member and retiree data must be paramount throughout the execution of this project. ETF recognizes that access to the real data will be necessary for both data conversion and for debugging of any problematic calculations; however the consequences of loss or inappropriate use of personal data, possibly leading to identity theft or other such abuses are high. Therefore, we require that the vendor provide a discussion in their response regarding how they propose to manage the security of ETF's data during the project. That response should eventually be incorporated into the Security Plan discussed in Section C.8.5.1.

The response should include at least the following information:

- A complete list of exactly which data the vendor considers to be personally identifiable information (PII)
- A complete list of exactly which data vendor considers to be personal health information (PHI). What steps does vendor take to ensure the treatment of this data complies with HIPAA regulations as part of solution development and implementation?
- A written commitment that all of the Personal Identifying Information (PII) will be appropriately protected, including being encrypted when sent off-site, even when sent in email correspondence
- A written commitment that none of the PII or PHI will be stored on any local PCs (including vendor laptops) without specific, written permission from the ETF Project Director – and should that permission be forthcoming, stored only in encrypted format and obfuscated
- No un-obfuscated data will exist offsite from ETF
- The vendor is responsible for the obfuscation of any non-production data and any data used off-site
- A description of exactly which vendor staff need access to PII and PHI and why.

Under no circumstances is the vendor permitted to remove ANY ETF data from the ETF site without prior written approval from the ETF Project Director. This provision includes a prohibition from accessing the on-site data via an external device connected over the web or otherwise without proper security controls including the encryption of transmitted data. As part of their request to remove data from the ETF site, the vendor must describe the processes and safeguards that will be utilized. ETF recognizes that the eventual solution will involve electronic submission of member data by employers as well as member-initiated, web-based self-service that accesses and alters member data. However, the controls to ensure the inviolability of those transmissions are not yet in place.

ETF is concerned about data corruption or unauthorized changes made (intended or otherwise) to data in the database both during implementation and once the BAS solution has been implemented. In their response to the RFP, the vendor is required to discuss the various checks and controls that exist in the proposed system to prevent and/or uncover such changes in a timely fashion.

C.7.1.2 DATA CONVERSION AND BRIDGING

ETF understands that a critical component of the project is the accurate and complete conversion of legacy system data (either from legacy applications or an intermediate staging database) (hereafter referred to as legacy system or legacy data) to the new environment.

C.7.1.2.1 DATA CONVERSION PLAN

The vendor must create a data conversion plan that establishes the conversion environment and outlines strategies for both the automated and manual conversion of data for the new solution. The data conversion plan at a minimum must:

- Identify how the conversion requirements will be defined, confirmed, and refined
- Map out how the data elements in the legacy system will be analyzed
- Prepare a detailed data conversion specification
- Identify the approach for any necessary manual data conversion, including the design of data collection forms and the creation of procedures for unreliable legacy system data
- Commit to updating the LOB database with migration data from an extract of the staging database or from a view of the staging database from which data can be pulled (migration)
- Discuss options for satisfying data required of the BAS solution data model that is not present in the data to be converted (e.g., termination dates that only the employer has)
- Develop data conversion test scripts
- Create the schedule for conversion activities
- Develop appropriate controls to ensure the integrity and completeness of both forward- and backward-bridged data and to include topics such as:
  - Forward- and backward-bridging counts
  - Bridging exceptions
  - Migration errors
  - Data management exceptions
- Keep the data conversion consistent with the implementation schedule.

The vendor will map legacy data to the new solution and design the data conversion file extracts from the legacy system, based on file formats defined collaboratively by the vendor and ETF. Working with the vendor, ETF staff will take the lead in the design, development, and implementation of any modifications of the legacy systems required to produce the file extracts for data bridging or data conversion. The vendor will have no responsibilities for manual corrections to legacy system data.

As part of the conversion plan, the vendor must include plans for testing the conversion process, including full reconciliation and balancing procedures for ensuring that all legacy system data was correctly converted and loaded. The conversion plan must elaborate how the integrity and confidentiality of the data will be protected throughout the conversion (and reconciliation) process.

In addition, ETF requires that the implementation be accomplished in distinct implementation phases for the BAS functionality (see Section C.6.1.6). Thus, not only data conversion, but also (both forward and backward) data bridging (the regular, periodic "synchronizing" of data between the old and new environments during the period when both environments will be in use), are crucial activities in assuring a successful implementation. Refer to Figure 14 Phased Data Conversion and Bridging for an illustration of this process.

ETF requires that the vendor develop the data conversion plan working in concert with the ETF staff members responsible for legacy data and for assisting in the data conversion. To that end, the successful vendor should plan on sharing existing BAS data models, data schema, etc., early in the first phase of the project so that ETF staff will come up to speed rapidly and be able to contribute substantially to the overall data conversion planning process. In addition, as the plan is developed and executed (and the data schema change), the vendor must provide copies of the updated schema to ETF on a regular basis.

C.7.1.2.2 DATA CONVERSION STRATEGY AND METHODOLOGY

Vendors must demonstrate in their proposals that they have in place a strategy and methodology for data conversion and bridging that is comparable to and compatible with their methodology for the design and development of the BAS solution. Although ETF recognizes that data architects and other technical specialists will execute the conversion and bridging activities, appropriate management and planning disciplines must also be applied to the effort to ensure that:

- There is adequate coordination between the data conversion and bridging effort and the other project components (design, development, testing, training, etc.)
- There is adequate communication about the data conversion and bridging effort with ETF managers, business area owners, users, contractors, and other stakeholders, as well as with the vendor's other project team members
- The integrity and validity of all data is ensured and protected such that ETF may continue daily operations (e.g., reconciliation, member interactions, reporting of entity interactions).

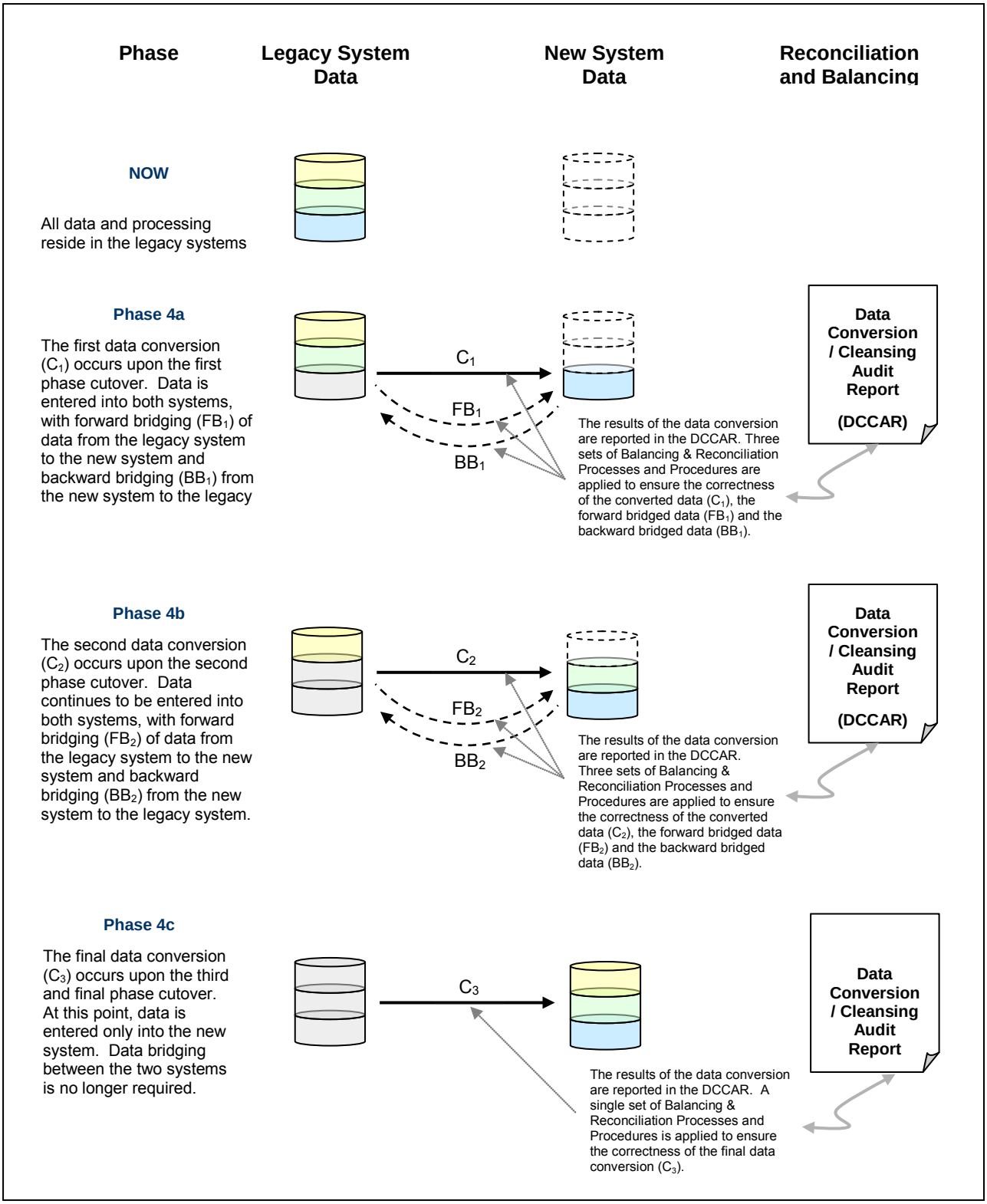
Therefore, vendors are to include in their proposals their proposed strategy and methodology for data conversion and bridging. The methodology must embrace the same degree of rigor and formality as the vendor's system development methodology. The conversion and bridging methodology is required to address, at a minimum, the following areas of concern:

- The planning of the data conversion and (both forward and backward) bridging effort and how those plans will be communicated to (and approved by) ETF managers, business area owners, users, and other stakeholders, as well as vendor development teams; ETF requires that a detailed, written conversion and bridging plan be prepared for each functional rollout phase

- When conversion and bridging activities will be scheduled relative to the development effort, including mock data conversions at least once a month
- The roles and responsibilities of vendor and ETF staff (users, IT, and contractors) in the conversion and bridging effort; such roles and responsibilities must identify the processes and procedures to be used by both the vendor's staff and ETF staff in performing the verification that all data was converted correctly
- The development of written procedures, methods, and checklists for balancing and reconciling conversion and bridging of data between the legacy environment and the new environment. This includes, in addition to developing the procedures, validating them with ETF staff during testing and training, training ETF staff in their use during testing, and validating that they are being used properly on an on-going basis. The procedures must provide sufficient controls that vendor and ETF can readily discern the validity of any step in the conversion process as well as the validity of the converted data. The procedures must be reviewed and approved by ETF's auditor and/or CFO prior to their use
- Techniques and methodologies to be used in converting cleansed legacy system data (e.g., data mapping, automated conversion routines, balancing and reconciliation of the converted data at various points throughout the conversion process)
- Development of data bridging routines that will update the new environment with data entered into the old environment and vice versa during the period when both systems will be in use; the methodology should also identify the procedures to be implemented to assure that forward and backward bridged data is correct
- Although there may be a possible need for dual data entry, ETF's preference is to avoid dual data entry whenever possible
- Training of users at the time of a functional rollout phase cutover as to what data is to be entered in which system and how
- Synchronization of the data conversion and bridging effort with the various other aspects of the project (e.g., BAS development, imaging capability, backfile conversion)
- A method to communicate to users what default values were used during conversion and why
- The strategy to be employed for conversion of images and their indexes

The figure below is provided to illustrate the data conversion and bridging process as envisioned by ETF. Note that in Figure 14 Phased Data Conversion and Bridging, ETF's data is represented on the left side of the schematic diagram as a single data source. In fact, as noted in Section B.1.3.3.4 Application Data as well as Appendix E.9 ETF Spreadsheets and Access Databases, there currently exist multiple system databases. And as noted in Section B.1.6.2 Data Integrity, the data cleansing project will also create a Target Staging Database that will contain data cleansed as part of the Data Integrity project. The single data source in each phase of Figure 14 actually represents multiple data sources.

Figure 14 Phased Data Conversion and Bridging



C.7.1.2.3 DATA CLEANSING AND CONVERSION AUDIT REPORT

In addition to planning and executing the data conversion efforts, the vendor must also create (jointly with the ETF data cleansing staff) a Data Cleansing/Conversion Audit Report (DCCAR). This report must be in a format and at a level of detail that is appropriate for ETF Executive Management, IT staff, users, and an internal or external auditor to review and approve. This report should contain an overall summary of the effort that was undertaken along with a brief, but complete, listing of all the types of data fixes that were made – both manual and automated.

As noted in Section B.1.6.2 Data Integrity, in which ETF describes the data gathering, profiling, and cleansing effort being led by ICON, much of the legacy data that will be used to populate the new BAS solution will have been cleaned as part of the Data Integrity project and made available for conversion in the Target Staging Database (TSD). ICON will maintain a DCCAR for the data that is cleaned as it is migrated from the legacy database(s) to the TSD (and possibly back into the legacy databases). However, we recognize that some legacy data may not lend itself to being thoroughly cleansed as part of the Data Integrity project. That latter (and hopefully small) set of data will have to be cleansed as a part of the conversion process, typically using a combination of the scripts and cleansing capabilities developed by ETF and the conversion methods and processes under the BAS vendor's management. For each type of data fix effected in each functional rollout of the new solution, the vendor must set forth in the project DCCAR, at a minimum, the following information:

- The problem the data was causing
- The number of occurrences
- The type of fix that was applied (e.g., manual or automated)
- The number of records fixed
- The number of records unable to be fixed
- A list of all records fixed and copies of all "before" and "after" data
- The benefit of having fixed this data problem.

For each functional rollout of the new solution, the data cleansing/conversion audit report should first be delivered in "draft" form for ETF review and then based on feedback provided, it should be updated by the vendor into a formal project deliverable.

C.7.1.3 CONVERTING AND VALIDATING ACCOUNTS

In converting and validating member accounts as they are transitioned from the legacy system to the new solution, great care must be taken with regard to accounts that may have included a separation or retirement from the system. Typically, such an action at ETF has involved only the zeroing of account balances while retaining the record of earnings and service. However, for example, when several accounts exist for members who leave and subsequently return to service, the vendor must take great care to ensure that the single member record contains correct and complete information about the member's service prior to conversion of the member record to the BAS.

As part of customer account conversion, the vendor must provide:

- The ability to flag an account that has not had all data cleansing exceptions cleared prior to migration
- The ability to remove an exception flag for an account based on ETF criteria with outstanding exceptions.

C.7.1.4 INTERIM WAGE AND CONTRIBUTION REPORTING

To support the timing and phasing of employers migrating from the current wage and contribution function to the new web-enabled wage and contribution function, the vendor must provide two (2) translation capabilities.

As background, there are three possibilities that create a timing issue:

1. An employer has the capability in place to provide wage and contribution reporting in the required format at the required time. *No conversion or translation software is needed, in this case.*
2. An employer does not have the capability in place at the required time; thus ETF must have translation software available that converts from the "old" format, to the "new" wage and contribution format.
3. An employer has the new format in place, but ETF has not yet implemented the "new" format; thus ETF must have translation software available that converts from the "new" format to the "old" wage and contribution format.

The vendor must provide translation capabilities to support the examples cited above. This includes software to be executed by ETF operations staff; software source code, operational documentation, and applications documentation must also be provided.

C.7.2 DOCUMENTATION (INTRODUCTION)

As a goal, the system provided by the vendor should be so easy to use, so self-explanatory, so intuitive that little or no documentation is necessary. However, in the context of that goal, ETF requires that the vendor provide two types of documentation for the new BAS:

- User documentation, including electronic help
- System administration documentation including material for both business analysts who need to reconfigure a function and IT staff who need to reconfigure/maintain/support the system.

Both types of documentation (user and system) must document not just the vendor-provided BAS solution, but also, at the appropriate level (i.e., user or system administration – or both), the use and/or interface to systems with which the BAS solution is integrated. For example, as noted in Section B.1.3.6, ETF currently has an imaging solution. The standalone use and administration of that solution in ETF's current business and operating environment is well documented and understood. However, once the new imaging solution is integrated into the BAS (or the current one retained as outlined in the option presented in Section C.9.4 Retention of Existing Content Management Repository), the user steps involved in the scanning and indexing or the retrieval and viewing of a member / retiree's imaged record or the administration steps involved in image archive backup and recovery may change. The vendor-supplied user and system administration documentation must therefore include documentation of the imaging solution in the context of the BAS solution.

The required solution documentation is discussed in the sections that follow.

C.7.2.1 USER DOCUMENTATION

The most important piece of user documentation associated with the new solution is described below as the Work Process Manual. But that is not all of the user documentation that must be

delivered as part of the system. Below, ETF documents a minimal set of requirements for user-oriented documentation for the new solution.

C.7.2.1.1 WORK PROCESS MANUAL

To augment the user work process training effort, the vendor will be required to produce an electronic Work Process Manual and a corresponding on-line help facility (see below) to assist the users in processing work with the new solution. The manual should be organized to correspond with the work processes for which each user is responsible. Planning for the manual and help facility should start at the beginning of the requirements definition effort. The manual must reflect the 'as built' nature of the system, and not the as-defined or as-designed. It must include an index as well as a table of contents and include appropriate hyperlinks within the document.

The Work Process Manual will address all manual, as well as automated, work processes in the new environment. As a representative example of particular interest to ETF, the vendor is responsible for establishing and documenting appropriate procedures for the issuance of "manual" and "one-time" payments. These "manual payment" procedures must explicitly address the following topics:

- How to issue, and track the progress through Wisconsin's issuing system, a "manual" or "one-time" payment, keeping in mind that only persons with appropriate roles and permissions are authorized to issue "manual" and "one-time" payments
- How to ensure that all "manual" and "one-time" payments are subjected to review and approval by a person different from the person who created the payments and having appropriate permissions to do so
- How to identify every "manual" and "one-time" payment as either an original or a replacement payment
- How to collect all necessary "manual" payment information, including the number of the check (if used), the amount of the payment, tax withholding amounts, other deduction amounts, the fund from which the payment was issued, and the type of the payment (benefit or refund, original or replacement) for purposes of making the appropriate general ledger entry
- How to view all "manual" and "one-time" payments, which are recorded in payment number sequence in a single location for easy access
- How to appropriately post all "manual" and "one-time" payments so that they will be linked to the recipient in the BAS, including ensuring that the issue date in the solution is the payment's true issue date (not necessarily the posting date)
- How to access a list of all outstanding "manual" and "one-time" payments which includes all "manual" and "one-time" payments that have been issued but not yet posted to the BAS

Other manual or quasi-manual processes / procedures that must be developed by the vendor and addressed in detail in the Work Process Manual include, but are not limited to:

- Procedures for the processing of "manual" contribution payments, ensuring that different employees are responsible for preparing the deposit, posting to the BAS, and posting to the cash receipts ledger. The vendor must establish and document procedures for depositing and tracking contribution payments that are not accompanied with the necessary paperwork to identify the member accounts to which they pertain, including procedures for accurately posting the contribution to member accounts in the BAS when the paperwork later becomes available

- Procedures for reconciling all ETF checking accounts, including confirmation of the accuracy of the outstanding checks report. The reconciliation process must include "manually" generated checks
- Procedures, for all plans / funds, for reconciling member and employer reserves as indicated in the BAS database against the general ledger reserve balances for same
- Procedures by which ETF staff can identify the source of all automatic computer generated entries against the general ledger
- Procedures for reconciling dual general ledgers if separate general ledgers are maintained for calendar year and fiscal year reporting or if there is the ability to display information in both modes
- Procedures for periodically loading actuarial tables, approved by the system's actuary, for accurately calculating the future cost of benefits and employer reserve charges.

In addition to documenting all steps to accomplish the processing of work, the Work Process Manual should make appropriate references to and reflect both automated and "manual" provisions designed to ensure the proper segregation of duties for internal security and control purposes according to accepted industry standards and best practices as described by the AICPA (American Institute of Certified Public Accountants) and COBIT (Control Objectives for Information and Related Technology). Examples include: ensuring that a user cannot update his or her own account, ensuring that account reconciliation is performed by someone other than the person responsible for general ledger postings, ensuring supervisor review of account reconciliations. While it is ETF's responsibility to implement the recommended segregation of duties, the vendor must develop the procedures and describe such segregation processes in terms of roles and work processes.

In addition to a detailed Table of Contents, the Work Process Manual must include a detailed, indented index to assist the user in locating the information of interest.

C.7.2.1.2 WORK PROCESS ON-LINE HELP FACILITY

The on-line help facility must reflect the 'as-built' nature of the system, and not the as-defined or as-designed. The on-line help facility envisioned by ETF would operate much like Microsoft Word's Word Help with its "Search for:" help assistance. A field would be provided near the top of each system screen into which the user can enter a question (e.g., "How do I reprint a member's annual statement?") or a series of key words (e.g., "annual statement reprint"). The help facility would respond with a list of likely work processes / sub-processes from which the user can select. When the user selects an item from the list, the appropriate excerpt from the Work Process Manual would be displayed.

At the same time, the user should have access to online help from the ETF intranet website, from which they would download and / or play instructional videos, view interactive "How To" sessions, etc. The help available, while all drawn from the same library of help text (so that a user's question will get an answer from the same source as a member's question), should also be configurable so that an ETF staff member has access to and obtains more information than does a member.

The on-line help facility must make extensive use of the screen-based help technology available today, e.g., support of "mouse over" indications, providing a definition of a screen element, field, or control in the form of a "tip," as well as text that offers assistance to the user in answering "What do I do here?" Such on-line contextual help must also provide the user with the ability to step back from the individual screen element and provide help on the entire screen and back a step further to the process in which the user is currently involved. As a further aid to understanding the process, the

system must also provide access to on-line tutorials (both video and text) that allow the user to learn on the job and provide step-by-step task guidance, especially for those tasks that seldom need to be executed and are therefore not engrained in the users' memory.

The vendor's proposal must describe the method and tools provided within the solution to ensure that on-line help, the context sensitive help, and any hardcopy help manuals and training materials are kept in synch. The solution delivery must include training on the appropriate use of these tools to keep all help up to date as changes and enhancements are made to the solution after roll-out.

With the exception of the videos described above, the proposer is also responsible for populating the on-line and context-sensitive help with the appropriate definitions and text. Such material must meet the ETF standards for style and "branding" that exist when said tools are developed.

All forms of on-line help, including the context-sensitive form and the on-line tutorials must provide the capability for both the vendor and, after release, ETF to augment the actual text or video with links to the relevant rules and policies in relationship to the context – and to change or update those links as necessary.

Because the capabilities of the on-line Help facility may influence the design of the solution's user interface, it is important to ETF that the on-line help system be demonstrated as part of the initial High Level Demonstration of Base Functionality described in Section C.6.2.5. This demonstration should include instances of how a user might drill down from general to specific help, access references to pertinent statutes or case law, and use context-specific help.

In addition to including standard on-line help, ETF would prefer a more comprehensive Knowledge Management Repository. In the conduct of its day-to-day business affairs, ETF staff must remain cognizant of multiple business "drivers" which dictate the services and information which ETF provides to its membership. Those drivers include, but are not limited to:

- Federal law and regulations
- State statutes
- Applicable case law
- ETF administrative rules
- ETF Member or Employer Handbooks
- ETF procedures
- Existing manuals
- Various forms and instructions.

The vendor is required to detail in the proposal its recommended approach to providing a repository capability as described above. The vendor must include a description of routine maintenance requirements for the repository. ETF would also welcome vendors' suggestions as to how to enhance this capability in order to make it more responsive to the needs of ETF staff members.

C.7.2.1.3 DELIVERY OF WORK PROCESS MANUAL AND ON-LINE HELP

Both the Work Process Manual and the on-line help facility must be delivered in final draft form at least three weeks prior to the time of each functional cutover. ETF will review the material and respond with comments and corrections in timely fashion. Upon receipt of those comments, at least one week prior to cutover, the vendor must provide the corrected material, accompanied by an

addendum describing all changes that have occurred since the distribution of the original deliverables.

Similarly, a working draft of on-line help must be available at the beginning of User Acceptance testing so that those ETF staff responsible for testing the applications will have access to (as well as the ability to critique) the help facilities during their testing.

C.7.2.1.4 ECM USER DOCUMENTATION

In support of the imaging and workflow training program, the vendor must agree to prepare and deliver the following ECM-specific documentation:

- User documentation for the stand-alone electronic file cabinet capability (if it has changed from that currently available)
- User documentation covering the use of tools such as annotation, etc., within the integrated imaging viewer
- Imaging and indexing software end-user procedure manual(s).

C.7.2.1.5 ECM OPERATIONS MANUAL

A key criterion for success of this effort is the on-going "Day-Forward" aspect with respect to new, incoming documents that are received by ETF – both prior to and after the implementation of the new BAS application.

With the implementation of the new solution, ETF's procedures and processes relating to incoming correspondence and documents will significantly change.

Historically, hard copy documents received in the mail have been identified and sorted, scanned and indexed (or distributed to appropriate staff for action and subsequently scanned). Documents generated during business processing have been scanned at the end of the processing. Whenever it later became necessary to refer to the same documents, they were retrieved and viewed on the staff members' workstation screens.

In the new environment, incoming correspondence and documents will all be identified, sorted, scanned and indexed. The hard copy will be filed and, except for unusual circumstances, will not have to be retrieved later. Instead, the initial scanning and indexing process will place the images in the appropriate customer's electronic folder and then trigger appropriate workflow streams. (The expectation is that documents that do not obviously pertain to a specific customer – which today are sent to work units for "research" – will be researched and indexed within the imaging processing unit.) (Remember that for improved customer service, ETF requires that the solution also send a communication – via the member's designated method (e.g., email, USPS, text) – to the member confirming receipt of the document(s), automatically projecting and communicating when the work related to that document will be completed – as well as capturing an instantiation of that transmitted communication into the image archive.)

Scanned images will be 'linked' to automatically generated 'work packets' that will appear in the work queues of roles or individual staff members. When staff members retrieve work packets from the work queues to which they have access, any accompanying images will be available for viewing at the staff members' desktop workstations. Document images will be accessible to multiple users at the same time. Thus, a single piece of correspondence can trigger multiple workflow instances, and multiple users can work simultaneously with a single document. If ETF generates any correspondence in the process, that correspondence will be automatically imaged (not manually

scanned), automatically indexed (requiring no input from the user), and added to the customer's electronic file folder. The archive version will not be printed and will not require user interaction in order to properly archive it.

Therefore, there is a need to develop a revised model for how incoming and outgoing correspondence and documents will be handled and processed in the BAS – a model that tightly integrates the imaging and workflow capabilities of the new solution, as well as its automatic correspondence generation features, with the still necessary manual chores of opening and sorting the mail and filing the hard copy. The new model must also accommodate the very rare occasion when hard copy must be retrieved from the files during the retention period and later re-filed.

As part of the ECM Operations Manual, the vendor will be responsible for defining and carefully documenting this revised document handling / processing model. As part of that documentation, the vendor is required to provide a detailed approach / strategy document discussing how both incoming and outgoing documents will be handled as a part of each phase in the rollout of the new solution. In addition, vendors are to discuss correspondence (and imaging) management in their proposal in adequate detail to demonstrate a complete understanding of the situation. They must pose in their proposal a solution that is simple, straightforward, and easy to control. Topics such as the following might be included in that discussion:

- Sorting significant correspondence out of the bulk of incoming mail, fax, email, etc.
- Suggested handling of original documents, e.g., passports or birth certificates that must be returned to the originator
- Preparing of documents for scanning
- Scanning of incoming paper documents and indexing of images, ensuring that the images are placed in the correct electronic file folder
- Researching images which do not obviously belong to an existing customer
- Handling new documents received for a new customer
- Handling documents that are incomplete
- Handling documents that are not ETF-related
- Handling documents that require the creation of a new folder/sub-folder
- Handling new documents received for a person whose record is already involved in another process (e.g., an address change for someone whose retirement application is in process)
- Check handling.

C.7.2.2 ADMINISTRATIVE AND SYSTEM DOCUMENTATION

The sections below define the documentation required for system administrators, those who will reconfigure key components of the solution such as the core application, workflow, and imaging servers and those who will support them.

C.7.2.2.1 GENERAL SYSTEM ADMINISTRATION DOCUMENTATION

System documentation that must be provided includes but is by no means limited to:

- Backup and recovery procedures for all BAS components (complete with recommended schedule)

- Error code descriptions accompanied by a description of how to work around or recover from the particular error condition
- System tuning discussion, providing ETF personnel with the information they need to adjust performance

C.7.2.2.2 ARCHITECTURE

ETF requires a comprehensive conceptual description of the entire system architecture. This section should include but not be limited to:

- The configurations, maintenance, and use of each environment as described in Section C.5.2 Separate Production, Staging, Development, Test, Training, and Query Environments
- A functional description of each major component within the system architecture
- A full and detailed description of the interfaces between components including parameters and the values that are relevant to each parameter

C.7.2.2.3 NETWORK/SERVER ADMINISTRATION

This section should include but not be limited to;

- A detailed schematic of the network depicting all hardware
- A schedule of tasks required for system maintenance by period, i.e., weekly, monthly, annually, etc.
- A detailed listing of installed components including but not limited to hardware, firmware, and software build versions and patch levels at time of system turnover. Included would be any exceptions to maintaining patch levels for any installed component. For example, some Proposer solutions may need to be patched outside of a Proposer's regular patch schedule because of incompatibility.
- A list of vendors and contact information to include license numbers, maintenance contract numbers and time frames, cost and renewal information
- A methodology for and information about scaling the system for significantly changed workloads, space requirements, new applications
- A methodology for and information about monitoring system performance and fine tuning it
- A troubleshooting guide
- Instructions for testing failover
- Instructions for testing high availability

C.7.2.2.4 SECURITY AND DIRECTORY SERVICES

This section should include but not be limited to:

- An overview of the security system(s)
- Implemented strategy
- Maintenance procedures for the system
- How to add, delete, and modify users/customers and groups

- Lockout capabilities for users, customers, data, environment, etc.
- Encryption of data including method and when it is invoked
- Implementation of access controls to information
- Secure disposal of information at the end of a lifecycle

C.7.2.2.5 DATA/DATABASE ADMINISTRATION

This section should include but not be limited to:

- A Data Dictionary providing definition of each data element including allowable values
- A complete listing of database tables including primary keys, foreign keys, internal keys and data elements
- A complete listing of all indexes including purpose and data elements
- How to create and maintain storage space for tables and tablespaces
- Monitoring and fine tuning database accessibility
- Backup/recovery of tables and indexes

C.7.2.2.6 GENERAL SYSTEM CONFIGURATION DOCUMENTATION

System configuration documentation that must be provided includes but is by no means limited to:

- Documentation on all aspects of BAS configuration such as changing of tax codes, addition of new plans, etc.
- Documentation regarding any expression language used to create/update business rules, formulas, etc.
- Documentation of aspects of the system that are configurable but other than BAS-specific (e.g., frequency of backups)
- Documentation of installation and initial configuration of all key components including operating systems, hardware, BAS application software, and ancillary software including but not limited to load balancers, resilience, security, and operational feature of the system.

C.7.2.2.7 SYSTEM PROGRAMMING / DEVELOPMENT DOCUMENTATION

ETF anticipates the desire for our own IT staff to conduct long-term product maintenance, and potentially to participate in the customization of the system where necessary to meet business requirements not satisfied by the base package. Developer-level documentation should therefore include at least:

- Identification and description of main software modules
- Complete data model (including metadata) and database schema, e.g., data dictionary, data descriptions
- Software architecture description / class interaction diagrams and descriptions
- Transaction management architecture and implementation standards
- Batch framework architecture and implementation standards

- Web services architecture and implementation standards
- Identification, description, and use of fundamental reusable objects
- Security authorization architecture and implementation (how a programmer would implement restricted access to new functionality)
- Exception handling implementation standards
- Logging implementation standards
- Programming standards observed (class/attribute naming conventions, program language use standards, etc.)
- Code integration and build procedures documentation.

C.7.2.2.8 ECM-SPECIFIC TECHNICAL DOCUMENTATION

In support of the imaging and workflow training program, the vendor must agree to prepare and deliver the following products:

- Operational system documentation
- System administrator operations manual
- Imaging software technical procedures manual(s)
- Workflow processes and procedures
- Operations documentation relating to normal processing, exception processing, and abort conditions; if a procedure or program aborts, the operational documentation should list the steps necessary to recover and restart / rerun
- All source code for any vendor-developed applications, middleware, communications capability, or interfaces
- Hardware maintenance and support documentation
- Imaging and indexing software end-user procedures manual(s).

C.7.2.2.9 ECM IT OPERATIONAL AND MAINTENANCE MANUAL

ETF requires that the successful vendor produce a formal ECM IT Operational and Maintenance Manual. This deliverable will contain all necessary procedures related to how ETF IT staff shall operate and maintain the ECM system. Topics such as the following must be included in this document:

- Installation, upgrade, and maintenance of ECM software (including suggestions for management of releases of component products from multiple ECM vendors)
- Configuration / optimization of ECM software
- Configuration and optimization of the database
- Security administration documentation including an overview of the security model, definitions of security roles, how-to procedures or examples of how to set up security to typical job functions
- Administration of system backup, archive and restore
- Scanning equipment maintenance

- Operational tasks such as startup and shutdown procedures, monitoring, troubleshooting, and applying maintenance (hardware or software).
- Correction of image / index corruption issues
- Creation of new document classes and new workflows
- Creation of new reports to be captured in the print archive.

C.7.3 TRAINING AND KNOWLEDGE TRANSFER (INTRODUCTION)

ETF views the material upon which the vendor must provide training as a continuum, ranging from high-level user familiarization material to detailed IT-level programming and database and system administration training. Similarly, the ETF community is another continuum ranging from supervisory level casual users to IT developers and support and administration personnel. Providing a perfect match between the material provided and the community to be trained is a difficult task. In an attempt to apply some order to that task, ETF believes that the vendor must provide four distinct, comprehensive training programs, addressing the respective training needs of:

1. ETF's users (ETF's business staff and managers) including:
   a. Staff involved in System Requirements and Design
   b. Staff involved in User Acceptance Testing (UAT)
   c. The general user population and
   d. Staff providing user-managed system administration
2. ETF business analysts and technical staff (operations staff, programmers, data / technical team)
3. Employers and employers' payroll service providers or service bureaus
4. TPAs whose training may consist of portions of each of the three programs listed above.

As part of the continuum mentioned above, the training programs for ETF staff will encompass all platforms, applications, and environments included in the proposed solution. In addition, any changes to use or administration of existing ETF applications (e.g., integrated InputAccel image acquisition, automated Financial Management Information System interface) must also be incorporated into the vendor-provided training. All four of the training programs will be presented in a phased manner, i.e., not all at the beginning or at the end of the project, but corresponding to the phasing of the overall project.

The format of the training to be provided to both ETF groups (users and technical staff) must include, in addition to classroom instruction, training workshops / laboratories / online webinars that offer participants hands-on experience with all of the facets of the new solution pertaining to their job duties. On the other hand, the training to be provided to the employers and employers' payroll service providers or service bureaus as well as TPAs may consist of classroom training combined with Web-based training.

On-site training is to be provided by the vendor in all aspects of the new system. All trainers are to be certified as trainers by the developer of any of the third party products on which ETF staff is being trained. This includes but is not limited to: office automation, relational database management system, CASE tools, and third party development tools. This training can be accomplished by vendor staff or subcontractor staff. However, while ETF recognizes that subcontractors will provide some training services, the vendor (prime contractor) will be solely responsible for the quality and timely completion of all training activities.

Regardless of the format and schedule for training (of all types) proposed by the vendor, ETF expects that the vendor (or its subcontractor[s]) will conduct all training sessions. A "train-the-trainer" approach is not acceptable either related to the system development life cycle or for end-user training. Vendors must develop their training plans and price their training services accordingly. Training is to be scheduled such that, in general, no more than 35% of staff of an organizational unit is away from work at any given time.

Under no circumstances will any training session be conducted on any of the topics pertinent to the vendor-provided solution or any of its components without electronic reference material, a workbook, or a user guide supplied in sufficient availability and in sufficient detail for those to be trained. Such reference or training material must thoroughly cover the subject matter and be written at the appropriate level for the intended audience. In addition, such material will be provided to ETF in draft form for review and feedback to be incorporated by the vendor prior to the conduct of any related training sessions.

All training is to be developed in a modular fashion such that ETF trainers can later use the modules in a different order and/or with a different audience (for example one or more new hires instead of the entire user base for which the vendor will originally be developing the training). To be clear, ETF trainers will be responsible for the necessary restructuring of the training course, but the material originally developed by the vendor must be suitable for such restructuring and re-use. The vendor must provide all electronic source documents, graphics, and the like used in the development and presentation of all aspects of training. All training materials may be copied by ETF without restriction and may, at ETF's sole option, be used in the conduct of additional training without the involvement of the vendor. Vendors must develop their training plan and price their training services accordingly.

The vendor must specify the expected performance and the expected outcomes of each module of each type of training that is provided. In conjunction with this, the vendor must develop evaluation tools to determine whether the training efforts produced the expected results. The evaluation must consist of per learning unit or module quizzes or tests administered to trainees in the course of each training session. This evaluation tool will be used to identify student comprehension as well as weaknesses of the training program and specific revisions that need to be made. (And once those revisions have been made, the vendor is responsible for ensuring that trainees who underwent training that was deficient or defective must be properly re-trained.) Information regarding the actual training results must be provided to the ETF Project Director in timely fashion in an evaluation analysis report. The trainers for all training efforts must utilize the evaluation survey tool.

ETF will provide a training contact person who will work with the vendor to coordinate training activities. The vendor will provide ETF with a list of training classes, their duration, their intended "audience," and student capacity. ETF and the vendor will jointly determine the training dates and schedule ETF staff and facilities.

The following subsections define the specific training requirements for users versus technical staff versus employers.

C.7.3.1 USER TRAINING

As noted in the previous section, user training has four major audiences or constituencies, any one of which overlaps at least one other:

- Those users and business analysts involved in System Requirements and Design sessions, many of whom will need to be taught the concepts of Joint Application Design, etc.
- Those users involved in User Acceptance Testing (UAT) who require familiarity with both the application and testing activities, such as methodologies, PIR reporting, and regression testing

- The general population of users and managers who do not require familiarity with testing activities
- Staff (possibly the business analysts) who will be providing post-installation, user-managed system administration if there are such tasks in the solution provided.

Since the four constituencies require separate (different material and different timing) training, separate training sessions are to be delivered to each. Appropriate training is to be delivered to each constituency for each of the functional roll-out phases. Finally, training is to be delivered just in time (JIT) so that the material is still fresh when the users must put what they learned to use.

Vendors may assume that ETF staff is experienced with the Microsoft Windows and Office environments and, thus, will require no training in basic Windows and Office operations.

C.7.3.1.1 TRAINING IN THE DEVELOPMENT METHODOLOGY

A critical training requirement is to educate ETF staff members in the process that will be used to define the new system's requirements, design the solution, and implement it. ETF users in particular have limited familiarity with system development life cycle methodologies including, but not limited to, design "workshops," Joint Requirements Planning (JRP) sessions, and Joint Application Development (JAD) sessions. Yet their input is essential, and the design issues they approve early in the project will be the foundation on which subsequent activities will be based later in the project.

From the point of view of obtaining a solution that meets or exceeds ETF's requirements, it is essential that ETF staff members who participate in JRP and JAD sessions understand the importance of their approval of the specifications and designs that result from those sessions. This training must emphasize to staff members that their signatures represent ETF's commitment that the specifications are complete and correct.

The vendor must include in its proposal a commitment to provide a series of orientation training sessions for all ETF staff members who will participate in the project:

- The first orientation session must occur within the first two months of the project
- The second must occur prior to the start of any requirements definition / gap analysis
- The third must occur prior to the start of the design effort.
- The next must occur at the start of the first functional rollout phase of the project.

With particular regard to development methodology training, the user training program must be coordinated with the preparation of, and addressing the contents of, the Development Methodology Overview – End User (DMO) document to be delivered by the vendor (see Section C.6.2.3). These development methodology training sessions must each involve no more than 10-15 ETF participants.

The topics to be covered in each development methodology training session include:

- An overview of the process – how the project will progress from the RFP to gap analysis and requirements definition, through design, and implementation via various steps, including but not limited to, joint applications development sessions, joint requirements planning sessions, prototyping sessions, conference room pilots, and office modeling, test, and training
- Where in the overall process this and the next step fits in
- The role to be played by the various groups of ETF users
- The meetings the various groups of ETF users will attend and their purpose

- The deliverables the various groups of ETF users will have to review and approve
- How the scope of the project is determined by the information ETF users provide (i.e., the level / detail of review necessary)
- How changes in scope can occur if requirements are not fully defined at the beginning of the project
- Emphasis on the importance of ETF users' participation and review activities, including the fact that their participation in the project will directly affect their work duties after the new system is implemented
- Emphasis on how failure to correct a deficiency during a review activity early in the project can have a serious impact on the project's cost and completion date later in the process.

For each phase, this DMO training process must be repeated.

Vendors must address in their proposals a plan for conveying this information to ETF users. Vendors may wish to include in their plan a form to be completed and signed by each user trainee at the conclusion of the training session confirming their understanding of the importance of their participation in the project's activities.

C.7.3.1.2 USER ACCEPTANCE TEST TRAINING

Just as ETF staff members need focused training in the process that will be used to define the new system's requirements, design the solution, and implement it, they must also be trained in the purpose and execution of User Acceptance Testing (UAT). ETF believes that staff participation in UAT serves two purposes:

- It validates that the provided solution meets the requirements that were developed early in each phase
- It provides users with hands-on experience in the solution they will soon be using every day, reinforcing the points that were made (or will soon be made) in user training.

However, many users approach UAT with a lack of understanding of the purpose of UAT and of their role in making UAT a success. The UAT training provided by proposer must accomplish the following:

- Provide preliminary general and work process user training (as described in the following sections)
- Provide testers with proficiency in the use of any automated test or result recording tools provided by the proposer (including the test repository described in Section C.7.4)
- Provide testers with an overview of general, standard test practices so that, upon completion of the scripted phase of UAT, they can further exercise the system with ad hoc tests that probe the limits of the design and specifications (e.g., determining the results of trying to retire a member with too few years of service, with a day less than the required years of service, with exactly the required years of service, …)
- Provide testers with proficiency in the use of the problem incident reporting system

ETF recognizes that some users are by nature better testers than others, devising scenarios that truly test the system, etc. There is no expectation that the training provided by the proposer will make every user an expert tester. There is every expectation that every user who completes UAT training will be a competent tester who understands the goal of their execution of UAT.

As noted in Section C.7.3.1.2, in the description of User Acceptance Test Training, no user testing may start until ETF staff members are trained in testing methodologies and problem incident reporting.

C.7.3.1.3 GENERAL USER TRAINING

Topics to be addressed in the user training program include, at a minimum, those items listed below:

- Vendor's system development methodology – aimed at users
- Identification of the legacy processes that each user previously performed and how such processes map to the new processes. The purpose is for users to understand what they used to do vs. what they will do in the future.
- With respect to the new system's functional capabilities:
  - This training must be focused on educating the users in how to accomplish their job duties, i.e., which processes / sub-processes apply to the user's particular job responsibilities and how to invoke and execute those processes and sub-processes
  - This level of training is distinct and separate from training in user procedures (menus, windows, screens, radio buttons, etc.) defined below
  - It includes training in the use of the Work Process Manual and help facility discussed in Section C.7.2.1.3, and encompasses all manual as well as automated processes
  - Where appropriate, this training also indicates where processing that previously was done manually (or with an access database or excel spreadsheet) is now done as a part of the actual BAS. This will help wean users from the use of their former "outside the system" tools
- User procedures (including but not limited to navigating menus and screens, entering data, queries, and "short-cuts" / "hot keys")
- User system administration (including but not limited to system functional access and system-wide parameters)
- User maintenance of date sensitive parameters, variables, and coefficients used in the system
- All applicable balancing and reconciliation processes involved in bridging and/or converting data
- Use of the various documentation deliverables, including on-line help and error messages
- Query language(s)
- Report writer products
- Integrated FAX capability
- Internet Portal / Dashboard capabilities
- Deliverables repository.

The vendor will include in its proposal a top level User Training Plan that identifies the specific topics that will be covered. This training plan must also identify the courses that will be provided (including a brief description of each course's contents) and must include descriptions of:

- Materials / facilities to be provided by ETF
- Training materials that will be developed by / delivered by the vendor
- The number of hours required by ETF users for attending classroom sessions, training laboratories, and for independent study.

Of particular importance in this regard is the Work Process Manual (and Help Facility) discussed in Section C.7.2.1.1. No training relating to the use of the new BAS application is to be conducted until the Work Process Manual is provided (first for review, revision and approval by ETF project management) and subsequently to all trainees. The BAS application training sessions must be based on the Work Process Manual and include instruction in its use. ETF recognizes that the new solution will be delivered in phases. Therefore, it is understood that there will likely be multiple versions of the Work Process Manual (each more comprehensive than the preceding version) corresponding to the project's functional rollout phases. Before any user training is conducted in support of a functional rollout, it is imperative that the Work Process Manual supplied to the trainees be complete in terms of the processes and sub-processes used in that rollout.

The preceding paragraph is not relevant to user orientation sessions, training in the project's system development life cycle, or similar training relating to project methods and processes – as opposed to the use of the new solution itself.

C.7.3.1.4 INITIAL WORK PROCESS USER TRAINING

A particular concern of ETF is the ability of users to process work and fulfill their job duties utilizing the new solution as soon as it first becomes available at the time of the initial functional cutover. As described above, the vendor will provide standard training in the new solution, which will familiarize staff with the technical environment: screen navigation, windows, containers, tabs, wizards, drop down lists, radio buttons, hot keys, data entry fields, and the like. But this training, while essential, is not sufficient to equip the users to begin processing work efficiently. Users do not think in terms of tabs and containers and wizards, etc. They think in terms of processes and sub-processes – e.g., enrolling a member, generating retirement estimates, issuing separation benefits, setting up service purchases, etc. This is the reason for the stress placed on **training in work processes** in this RFP.

The vendor will identify for each user functional group the work processes and sub-processes for which each group is responsible. In identifying the processes that will be documented, the vendor will adopt the terminology with which the users are already familiar, e.g., separation benefit instead of refund. Users will be asked to confirm that all work processes for which they (the individual users) are responsible have been identified in terms that are familiar to them.

For each work process / sub-process identified, the vendor will develop a user-friendly script to be followed in using the new system to complete the process. Each script will start at system logon and "walk" the user through the windows, containers, tabs, wizards, screens, etc., in sequence, that have to be accessed <u>in order to complete the work process.</u> The scripts will address all drop down lists, radio buttons, data entry fields, etc. that must be used in processing work. Included in each procedure must be any necessary interaction with workflow management features, such as selecting a work packet from the user's work queue, passing work on to another user / reviewer, resuming work on a work packet passed from another user, suspending work packets until a subsequent triggering event occurs, closing out completed work packets, etc.

Each process "walk" in the manual must be complete in itself with no cross-references to other process "walks." For example, there may be a process called "Retirement Application." As part of processing an application for retirement, the user may review the member's demographic information included on the application form and update the database with any changes. No doubt there will be another process in the manual for "Change Demographic Information." Nevertheless, the section on "Retirement Application" **should not refer** the user to the "Change Demographic Information" section, but rather **should include the contents** of that section, with any adjustments necessary to account for navigating to demographic information processing from the retirement application process (rather than from system logon). ETF understands that this approach will result

in significant duplication within the manual. However, duplication is necessary to avoid the confusion which would result from forcing the user to refer from one process "walk" to another, possibly several times, in order to complete a single work process.

The vendor's training plan must include instruction in the use of both the Work Process Manual and the on-line help facility.

C.7.3.1.5 ECM TRAINING

ETF expects that the workflow component (and the subsequent training) of ECM will be so well integrated into the BAS that no workflow-specific training is necessary for users. However, user training in the revised imaging solution must be included in the top level training plan presented in the vendor's proposal, particularly as the current staff members are well-versed in the use of the existing system. ETF requires that the successful vendor provide a comprehensive imaging training program that addresses both training on the use of imaging as if it were a stand-alone Electronic File Cabinet (EFC) and on the imaging system as integrated within the BAS. User training should encompass all modules that are a part of the imaging solution and address the training needs of:

- File room / mail room end-users
- Staff members
- Supervisors and managers.

Topics to be addressed in the imaging training program include, at a minimum:

- Imaging system's functional capabilities
- Document preparation and scanning capabilities (for the file room / mail room personnel)
- Basic user procedures (navigating menus and screens, scanning, indexing, retrieving images, creating annotations, entering data, queries, "short-cuts" / "hot keys").

The format of the training to be provided must include not only classroom instruction, but also and more importantly, training workshops / laboratories that offer participants hands-on experience with all of the facets of the new imaging solution that pertain to their job duties. This also means that general application user training should include training on searching for, retrieving, annotating, etc., electronic member records.

Imaging system training should be based on the delivered imaging system User Manual but be supplemented with overhead presentation materials, workbooks, labs, etc., as necessary.

C.7.3.2 TECHNICAL STAFF TRAINING

ETF has chosen to include in this section the training on all aspects of the vendor's proposed solution that are not included in the user training specified in the previous section (Section C.7.3.1). Therefore, we include under Technical Staff the training of business analysts as well as ETF's IT staff. Obviously, business analysts will not need training on the operating system(s), but the overall principles under which they initially observe and later learn how to configure the BAS are the same as those that govern how the IT staff will be trained.

C.7.3.2.1 GENERAL TECHNICAL TRAINING

Topics to be addressed in the technical staff training program include, at a minimum, those items listed below:

- All applications software, whether packaged or customized
- Hardware installation, configuration, and operations
- Operating system level software
- Systems administration like startup/shutdown procedures, backup/restore, and troubleshooting
- Troubleshooting and fault isolation
- Query language(s)
- Report writer products
- 4GL(s)
- Network (administration, management, tools, commodity software)
- Development languages
- Development methodology
- Tools and techniques that will be employed in customizing and maintaining the applications software, including an overview of general system architecture and how to make specific types of changes (user interface changes, calculation changes, database access changes, external system interface development, etc.)
- Business rules engine
- Parameter configuration tool
- Data base management system
- Data modeling tools
- Test script generators
- Integration aspects of the office automation suite
- FAX capability
- Deliverable repository.

Training in both the use and the administration of software tools is required. It is desired that this training be provided on-site in ETF's training facility. However, if such training is only available through a certified trainer outside of the Madison area, then the vendor will bear the cost of such trips by ETF staff. Vendors must disclose such costs, if any, in the proposal.

ETF envisions that at some point its technical staff will take over the responsibility for the continued maintenance and enhancement of the solution. Thus it is very important that, as part of the training portion of the proposal, the vendor provide a thorough and compelling discussion of how it plans to effect the appropriate knowledge transfer from vendor staff to ETF. A part of that discussion must be the staff training plan described below; a part is the vendor's assurance that it will do what is necessary to ensure that ETF's staff is fully trained, and a part is the evaluation methodology by which the vendor proves (both to itself and to ETF) that the knowledge transfer has been successful.

The vendor will include in its proposal a top level technical staff training plan that identifies the specific topics that will be covered. This training plan must also identify the courses that will be provided (including a brief description of each course's contents) and must include descriptions of:

- Materials / facilities to be provided by ETF

- Training materials that will be developed by / delivered by the vendor
- The number of hours required by ETF technical staff members by job category for attending classroom sessions, training laboratories, and for independent study.

Like ETF users, technical staff members are also to be trained in the vendor's development methodology. The vendor may assume the existing technical staff is familiar with development methodologies in general.

Finally, in addition to any formal training that vendor provides, it is ETF's expectation that ETF's technical staff will be involved (if only as observers) whenever a task (e.g., system software installation and configuration, solution configuration, system backup, database tuning) is performed that may eventually fall to the ETF technical staff to perform. This approach will also make the eventual formal training in tools, processes and procedures much more useful. In fact, vendor is encouraged to incorporate into its technical training references to activities previously performed by vendor staff but witnessed by ETF technical staff.

C.7.3.2.2 SYSTEM ADMINISTRATION TRAINING

Training in the administration of the new benefits administration system must be addressed per the training requirements established above and must be included in the top level training plan presented in the vendor's proposal. ETF requires that the successful vendor provide a comprehensive administration training program for approximately 20 staff members who will be a mix of business analysts and IT staff members.

Topics to be addressed in the administration training include, but are by no means limited to:

- Reconfiguration of all aspects of the system such as adding a new plan, a new user, new business rules, changing the tax tables, modifying existing screens or adding new ones, etc.
- Creation of new communication templates such that ETF has the capability to create any new form or correspondence and include within the form or correspondence any data element stored in or creatable from (e.g., the addition of two field values) the BAS solution – as well as the modification of any vendor-supplied form or correspondence
- Support of the employer-reporting sub-system portion of the solution so that new employers can be added to the system, trained and supported by ETF staff
- Support of the web-based member self-service sub-system of the solution so that ETF staff will be able to later expose (using appropriate security) functions currently accessible only to internal users.

C.7.3.2.3 ECM ADMINISTRATIVE AND TECHNICAL TRAINING

Training in the administrative and technical aspects of any new imaging components and the workflow management solution must be included in the top level training plan presented in the vendor's proposal. ETF requires that the successful vendor provide comprehensive imaging and workflow training that addresses both a stand-alone Electronic File Cabinet (EFC) capability and the imaging and workflow solutions as they are integrated with the BAS. Training should encompass all modules that are a part of the imaging and workflow management solution and address the training needs of:

- Scanner operators
- Indexers (if different from the scanner operators)

- Quality assurance workers
- Business analyst end-users
- Supervisors and managers
- Staff members assigned to maintaining imaging/workflow
- IT operations and programming staff.

Topics to be addressed in the imaging and workflow training program include, as appropriate and at a minimum:

- Imaging system's functional capabilities
- Document preparation and scanning capabilities (for scanner operators only)
- Suggested document index research operations for those documents that cannot be obviously "typed" or assigned other indexes
- Basic user procedures (navigating menus and screens, scanning, indexing, retrieving images, entering data, queries, "short-cuts" / "hot keys")
- Workflow processes and procedures
- Basic system administration features (e.g., system functional access and system-wide parameters)
- Troubleshooting and fault isolation
- Application / operation support
- Hardware operation and maintenance.

The format of the training to be provided must include not only classroom instruction, but also and more importantly, training workshops / laboratories that offer participants hands-on experience with all of the facets of the new imaging solution that pertain to their job duties.

C.7.3.3 EMPLOYER EDUCATION AND TRAINING

ETF recognizes that to receive the full benefit of a new BAS, employers will certainly have to change the frequency of their reporting, likely have to change the format, and possibly have to change the mode by which they report wage, contribution, service, accumulated sick leave, and other employment and demographic information to ETF. Education and training of the employers is a project in itself. It must be properly planned, developed, executed, and integrated with the rest of the BAS implementation. ETF requires that the vendor be responsible for this task. In the proposal, vendors are to address how they will perform the following tasks to support the employers identified in Appendix E.6 (which enumerates the number of employers, the number of employees, and the current mode of annual reporting):

- Develop an employer education and training plan
- Conduct meetings with employers to define the project, communicate expected results of the project and identify the timeline for implementation
- Develop technical manuals to be supplied to the employers identifying the required new file layouts
- Develop user manuals to be supplied to the employers that detail all necessary data preparation procedures and the Web-based reporting methods that will be utilized

- Delivery of training to the employers. This will require regional meetings and training sessions with employers, class-room style training with employers at ETF, and Web-based training sessions
- Provide the capability to accept employer data in **both** the old format and the new Web-based format, and provide the capability to convert / translate each to the "other" environment in support of a gradual transition of employers to the new Web-based reporting.

ETF will provide two (2) members of staff familiar with ETF's employers to assist in a limited manner in the scheduling and delivery of the training material, but vendor must assume full responsibility for the successful execution and completion of the training.

The vendor will be responsible for the training of appropriate ETF staff in the new employer reporting system as follows:

- Demonstrating, and training ETF staff in the use of, the new system to accept employer earnings and service data in all legacy system reporting modes, as well as via the new employer reporting Web-site
- Demonstrating, and training ETF staff in the use of, the new system's capability to "translate" earnings and service data from each of the legacy system reporting modes / formats to the new Web-based reporting format
- Demonstrating, and training ETF staff in the use of, the new system's capability to "translate" earnings and service data from the new Web-based reporting format to each of the legacy system reporting modes / formats
- Demonstrating, and training ETF staff in, the successful posting of employer earnings and service data regardless of the mode / format (i.e., legacy system mode or Web-based mode) in which it is received
- Demonstrating and training ETF staff in the successful posting of employer-reported data in addition to earnings and service, e.g., accumulated sick leave, member demographics, etc.

In addition to the training specified above, the vendor will be responsible for providing transition support as described in Section C.7.5.4.

C.7.3.4 THIRD PARTY EDUCATION AND TRAINING

ETF engages the services of multiple third parties in the provision and administration of the benefits offered to both members and non-members. ETF also seeks to develop an expanded relationship with those third parties that ensures that as many efficiencies as possible are built into the BAS. This would include capabilities such as ETF being able to retrieve information managed within the third party systems, providing third parties with controlled and limited access to information stored within the BAS, ensuring that data is entered only once on one system or the other, etc.

ETF recognizes that building such interfaces goes beyond the scope of a single BAS and does not expect the vendor to complete each automated interface for each third party. We do expect to select one or possibly two third parties to work with the selected vendor and ETF to automate as much as possible of the exchange of data, to develop training of the one or two third parties on the use of the developed interfaces, and to develop training such that other third parties would be convinced of the benefits of such integration and be willing later to undertake that integration, working just with ETF.

To that end, ETF requires the vendor to propose the education and training of the selected third parties. That education and training, while not as extensive as that developed for employers, must also be properly planned, developed, executed, and integrated with the rest of the implementation.

ETF requires that the vendor be responsible for this task. In the proposal, vendors are to address how they will perform the following tasks to support third parties:

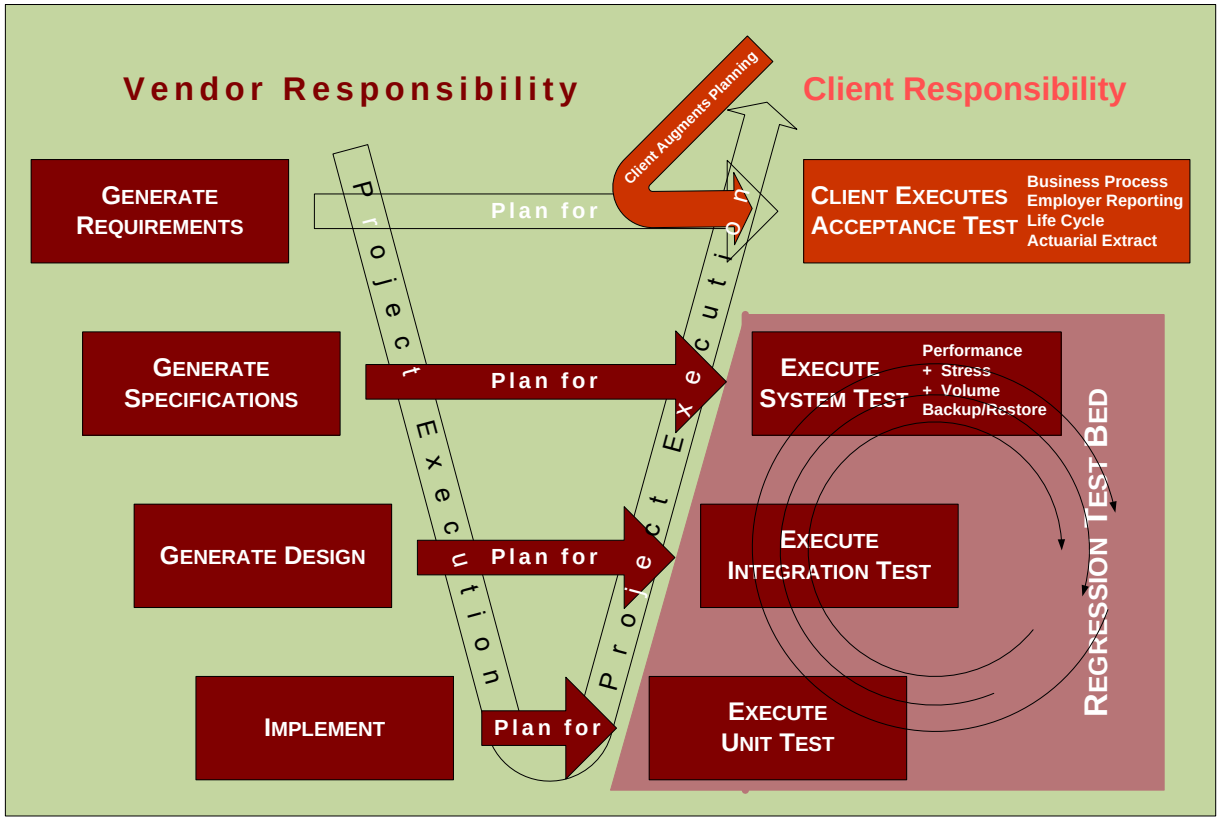
- Develop a third party education and training plan
- Conduct meetings with third parties to define the project, communicate expected results of the project and identify the timeline for implementation
- Work with ETF and the selected third parties to define the information exchange interfaces, appropriate security aspects of the data exchanges, etc., and subsequently to develop technical manuals to be supplied to the third parties identifying any required new file layouts
- Develop user manuals to be supplied to the third parties that detail any necessary data formatting and exchange protocols that will be utilized
- Delivery (with ETF) of face-to-face training to the third parties.

C.7.4 TESTING (INTRODUCTION)

ETF expects a comprehensive testing process to be in place and utilized to determine whether the solution delivered (both base functionality and customizations) satisfactorily addresses the requirements defined in the RFP as confirmed or revised during requirements definition.

Below is a diagram showing how the various development aspects and phases of a project relate to the various testing terms and definitions that ETF employs. While the diagram as shown applies to the entire solution development life cycle, it is presented here to demonstrate the scope of testing as well as laying out the vendor responsibilities for the development and execution of test plans.

Figure 15 Suggested Scope of Testing



The diagram provides a wealth of information. It shows how the specifications for various test phases (on the right side of the project execution "V") are derived directly from solution development phases (on the left of the "V"). It also shows that vendor must accept responsibility for all of the development phases, all of the test planning and preparation and all of the test execution except for the Client's Acceptance Test shown in the upper right hand corner of the diagram.

Testing terms may vary from vendor to vendor in their methodologies – but the requirements as stated herein must be met as a minimum. If the vendor uses different terms, they must provide a mapping of their terminology to ETF's. A list of test-related terms, along with their meaning in the context of this RFP, is provided below:

Scope of Testing — The range of tasks conducted on the solution to determine whether the solution satisfies the functional and technical requirements defined in the RFP as revised through the requirements definition process – as well as the internal design specifications and the high-level and detailed design of the system.

Vendor Testing or Vendor Acceptance Testing (VAT) — The hierarchical series of tests conducted by the vendor to verify proper functioning prior to delivering one or more components of the solution to ETF. In order from simplest to most complex, vendor Acceptance Testing (VAT) includes:

- Unit Testing
- Integration Testing
- System Testing
  - Performance Testing
    - Stress testing
    - Volume testing
  - Backup and Recovery Testing
- Regression Testing

  The vendor should note that system testing also includes complete execution of the vendor-generated User Acceptance Test scripts to ensure that the system, when it is handed off to ETF will execute the acceptance tests to a reasonable level of completion.

User Acceptance Testing (UAT)

Execution of a series of defined steps using predefined data the objective of which is to determine whether the actual outcome consistently, repeatedly, and accurately equals the expected result. User acceptance testing is a deliberate process and requires test scenarios, test cases, test data, and expected outcomes to be prepared (by the vendor) and known in advance of test execution. UAT occurs subsequent to the completion of VAT – though vendor-accomplished regression testing continues in response to changes and repairs of problems determined during UAT.

User Acceptance Testing (UAT) also addresses:

- **Business Process Testing** – Scenarios covering all the business processes ETF conducts (or will conduct in the BAS solution) using data sets designed to exercise all possible variations, permutations and logic branches in base and customized function
- **Employer Reporting Testing and Support** – Vendor-assisted testing of employer reporting functionality to confirm that employer earnings and service reports can be received and posted via both legacy system reporting modes and the new solution's Web-based employer reporting capability
- **Accessibility Testing** – Testing the complete user interface to ensure that tab-order is logical, that all fields are properly tagged, that a screen reader properly traverses the required fields and other input mechanisms, etc.
- **Life Cycle Testing** – Testing a well-defined sequence of member, retiree, employer, or insurance program events that effectively represent all, or a logical and related subset of, activities one would expect to occur over the life of a member, retiree, employer, or insurance program
- **Actuarial Extract File Testing** – Testing of the production of an annual actuarial extract file and reports (including an Experience Study Report and an Asset and Liabilities Report) to provide the system's actuary with

the information necessary to prepare an annual actuarial valuation

- **Backup and Recovery** – Testing of the system backup and recovery capabilities and documentation to ensure that system can be completely restored in the aftermath of a catastrophic failure

As mentioned above and indicated in the diagram, the vendor will bear all responsibilities for test planning and preparation throughout the project.

These responsibilities include the identification and preparation of all test plans, test variants, test scenarios, test cases, test scripts, test data, and expected results for the BAS application and all related and peripheral interface and data exchanges and for all testing levels, e.g., performance stress, load, etc.. Furthermore, as indicated, ETF requires that the vendor plan for and execute complete, end-to-end testing of the solution, not just the customizations done for ETF. In addition, the vendor will provide a mechanism for reporting actual test results vs. expected results and for tracking all errors and problems identified during test execution (see Section C.6.3.8 Problem Incident Reports), as well as their resolution. This reporting mechanism will include trend analysis for tests completed, errors identified, rework efforts, and retesting efforts, in both numeric and graphical presentations.

When it comes time for ETF execution of User Acceptance Testing (UAT) of each roll-out phase, vendors are to deliver to the ETF project manager all of the vendor-prepared aforementioned materials at least two weeks prior to commencement of UAT – in both hardcopy and end-user-logically-organized electronic copy. The vendor will also provide training as necessary to ETF staff responsible for test activities – prior to the start of execution of UAT.

It is appropriate to assume that the majority of ETF users are unfamiliar with structured, disciplined acceptance test procedures – the requirements for the way a test is conducted and resource (time and staff) requirements. The preparation of necessary testing materials as identified in the preceding paragraph is the vendor's responsibility, though (again as indicated) ETF reserves the right to review and approve the materials developed by the vendor and to augment those materials and test plans and scripts as ETF sees fit. Note that no user testing is to start until ETF staff is trained by the vendor in testing methodologies and problem incident reporting (PIR) mechanisms.

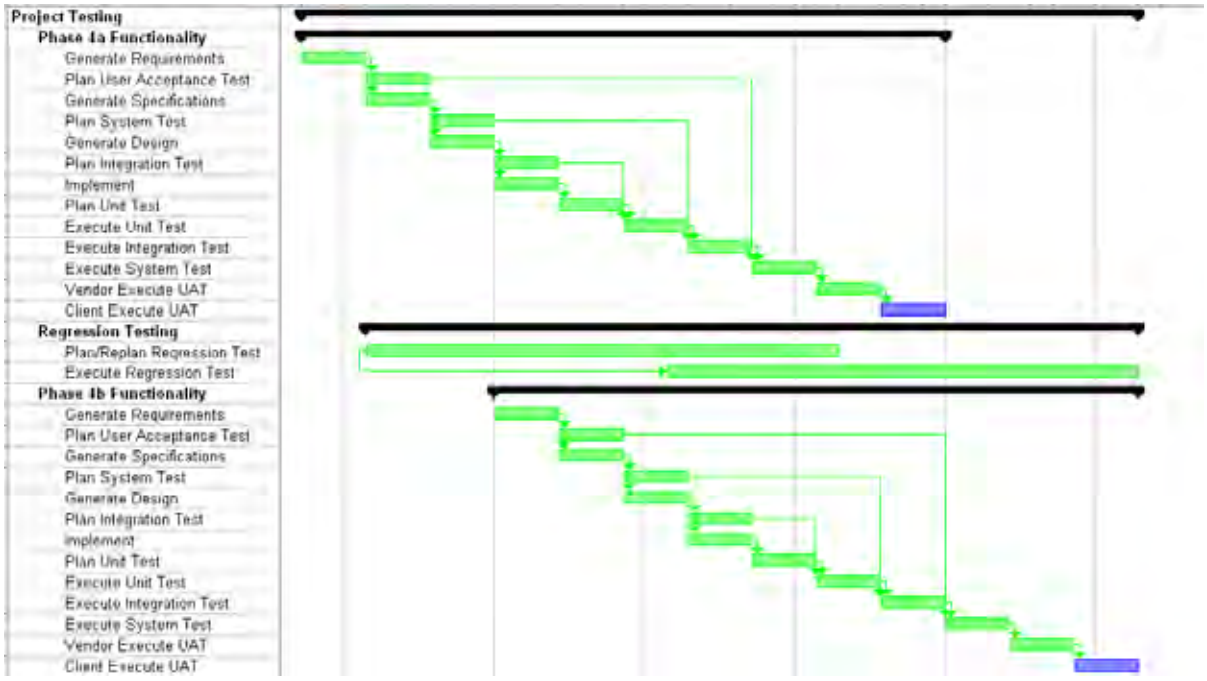
In preparation for and execution of testing activities, the vendor must:

- Create the test environment, meeting the specifications of the test plans
- Install the system in the separate staging, development, test, training, QA, and query environment (see Section C.5.2)
- Ensure that sufficient and approved test data is populated in the test database(s)
- Install and train ETF staff on the use of an ad hoc query capability, complete with the ability to download the results of the queries in ASCII format or to an Excel spreadsheet as described in Section C.7.3.1.2 – prior to execution of testing. Note that the ad hoc query capability is considered to include the appropriate data dictionary and schema definitions necessary for users to make effective ad hoc queries
- Support the operation of the test system and deliver system output to ETF as requested
- Plan for documenting, and resolving any errors encountered during testing – and fully regression test the subsequent repairs
- Provide adequate technical and other staff dedicated to testing support and problem resolution while testing activities are in progress

- Update the requirements traceability matrix demonstrating that the tests performed validate that specified system requirements, either listed in the "To Be" Business Requirements (Section C.4) or through the requirements GAP analysis conducted as part of this implementation, have been met.

The diagram below shows ETF's perception of the various tasks and their scheduling relative to one another; (Note, there is no intent to indicate that the project will have only two roll-out phases);

Figure 16 Relative Project Test Activities



In its proposal, the vendor is to include its proposed test plan methodology. After contract award, the vendor will be required to include details of its test plan methodology in the detailed project work plan. A separate test plan and set of test materials will be prepared for each functional cutover.

The vendor will be responsible for establishing a repository to contain the test data results. The repository will be accessible by the ETF Project Director as well as other members of the project team. Data and material in the repository must be stored in such a manner that it cannot be altered after being filed.

For the deliverables repository, vendors are to describe in their proposals:

- Their commitment to satisfying the requirements for the testing repository
- Where the repository will be located, how it will be backed up, and how it will be recovered in the event of an equipment failure
- How they propose to organize the repository for ease of use and access
- How they will control the repository to guarantee, on a continuous basis, the correctness and completeness of the repository at any time

- Their commitment to produce a document (which itself must be included in the repository) describing the testing repository, how it is organized, how items from it can be accessed, and how to recover the repository if necessary
- Their commitment to train ETF staff (including an administrator, managers, and end-users) in the use of the repository
- Whether third party tools are utilized (if so, they are to be provided by the vendor – and their price included in the vendor's cost proposal).

ETF notes that automated or scripted testing is a critical component of delivering high-quality, high-performance and highly available applications. Automated testing and the associated tools give the ability to easily repeat, identify problems and execute test scenarios, and create a library of test scripts for reuse. Vendors should describe their methodology for automated testing and how they intend to use it during the different phases of testing, particularly load, stress, acceptance, and regression testing.

ETF is concerned about the amount of time that will be allocated to testing relative to design and development. It is crucial that ETF training and testing activities not be abbreviated in order to meet project implementation schedules; it cannot be assumed that when testing commences ETF can allocate 100% of its resources to this effort. Therefore, ETF requires that a fixed ratio apply to the time devoted to ETF training and testing relative to the time devoted to vendor requirements definition, design, and development. We propose a 3:1 ratio – i.e., if the time required for the vendor to design, build, and test a particular functional rollout phase is nine months, then up to three months must be allocated to ETF staff for training and test execution. The vendor must disclose in its proposal the assumptions it has used with regard to ETF resources required during testing.

ETF will not accept the practice that has come to be called "best-effort testing." In this informal but widely used practice, testers evaluate functionality to the best of their abilities within the time limits they have been given. When the time is up, the application is released, ready or not, and end-users and customers do the rest of the testing. Without time to make any improvements to the process, testers are immediately assigned to the next module, system, phase or project. Investment in testing resources must be carried through to achieve the level of quality and user satisfaction consistent with ETF's (and the vendor's) vision of the solution. Thus, vendor-supplied tools and methodologies must be prioritized, or ETF risks damage to our customer satisfaction. While development and test teams have to move faster than ever before, the enterprise cannot sacrifice application quality for speed.

Vendors are invited to discuss these issues in their proposals and to offer an alternative approach. However, if they propose a significantly higher ratio of development time to testing time, they must explain the rationale for their alternative. Prior to contract execution, a fixed ratio will be discussed and agreed to. No deviations from the fixed ratio will be permitted during the course of the project except by express written approval of ETF.

The following sections provide specific requirements and detail the vendor's responsibilities relating to both Vendor Acceptance Testing and User Acceptance Testing of the new solution.

C.7.4.1 SCOPE OF TESTING

ETF is concerned as to the adequacy of the *scope* of testing of the BAS. It is understood that vendors proposing packaged solutions to be modified (as opposed to template-based or fully customized solutions) will likely test their base product via automated testing routines, then design specific test cases to validate their modifications to the base product.

However, **at a minimum**, the vendor is responsible for designing test plans and specific test cases and developing all test materials (scenarios, scripts, data, etc.) necessary to exercise and validate each and every line item in the Requirements Traceability Matrix described in Section C.6.3.1, not just the functions that are customized for ETF. The matrix requires the ETF Project Director (or other ETF staff member appointed by the Project Manager) to approve every individual line item in the matrix. In order for an authorized ETF staff member to indicate, by his/her signature on the matrix, acceptance of an individual BAS function line item, the vendor will have to demonstrate through appropriate testing activities that the line item is satisfied by the solution as implemented.

In its proposal, the vendor is to state its commitment to design test cases and develop all related test materials (scenarios, scripts, data, etc.) necessary to validate, at a minimum, each and every line item in the Requirements Traceability Matrix. ETF welcomes discussion of any additional BAS application testing being proposed by the vendor.

Thus the vendor is to develop and deliver a test plan and test materials for ***all*** functionality to be delivered to ETF – regardless of its origin, i.e., baseline product, modification to a baseline product, or custom function.

The following subsections set forth specific topics that must be addressed by the vendor's test plan and specific testing scenarios that must be addressed by the vendor test team.

C.7.4.2 VENDOR ACCEPTANCE TESTING

The Vendor Acceptance Test (VAT) will demonstrate the successful testing and operation of the system by the vendor, ensuring that the new solution is functioning and processing data correctly and ready for ETF User Acceptance Testing (UAT). In their response, vendors are encouraged to describe their testing methodology, particularly how they conduct the testing, what controls are in place, how the test results are evaluated, etc. As noted above, the tests that ETF would expect to see the vendor conduct within VAT include:

- Unit testing of any code developed specifically to address requirements or issues specific to ETF
- Integration testing to ensure that all third-party and other application packages integrated into the solution perform properly and that information is exchanged among the components properly
- End-to-end application system testing, including stress tests, volume tests, performance tests to ensure that the solution will meet performance requirements under expected user loads, and backup and recovery testing. Note that such system testing should also include complete execution (and certification that it has been successfully executed) of the vendor-generated test scenarios for UAT.

Furthermore, ETF would expect VAT to include continuous regression testing of the implemented solution to ensure that all subsequent fixes and changes to the system do not break things which worked prior to the implementation of those changes. Because regression testing will be an important part of UAT as well as VAT, ETF expects the vendor's response to contain a thorough discussion of the vendor's philosophy and methodology for regression testing.

In fulfilling the testing responsibility, the vendor must provide a test team to conduct vendor unit, integration and system testing before functionality is delivered to ETF for UAT. Following what ETF considers a "best practice" in solution development, the vendor test team is to be independent of the development team, i.e., the individuals who test certain functionality must not be the same as those who developed it. The independent vendor testing team must be present and available to support the ETF test team during UAT.

The following subsections set forth specific requirements relating to the vendor's unit testing, integration testing, system testing and regression testing.

C.7.4.3 CRITERIA FOR CUTOVER TO USER ACCEPTANCE TESTING

Cutover from VAT to UAT is more than a date on a project plan. Prior to the commencement of UAT, the vendor must have successfully completed all required testing required by the phase definition. At the conclusion of VAT for each phase, the vendor will provide written certification, signed by both the vendor's project manager and the vendor's Test Team Director (an individual separate and apart from the development staff charged only with test and quality assurance responsibility) that all tests have been completed satisfactorily (at a minimum 95% level, that is, all testing completed with no more than 5% of the test cases not completing satisfactorily) and that the system is ready for User Acceptance Testing.

The final output of VAT will be both hardcopy and electronic test materials including, but not limited to: test plans, test scripts, expected test results, actual test results, and tangible proof (i.e., screen prints [before and after images] or report output) that actual test results were compared to expected test results. UAT will not begin until two weeks after **all** VAT material has been provided to ETF. Life Cycle Testing and Employer Reporting Testing will not begin until Business Process testing has been completed.

C.7.4.4 USER ACCEPTANCE TESTING

User acceptance testing (UAT) will be conducted for each functional cutover. UAT will not begin until at least two weeks after all of the following have occurred:

- The vendor has completed vendor unit testing
- The vendor has completed vendor integration testing for the functionality included in the specific rollout phase
- The vendor has completed vendor system testing for the functionality included in the specific rollout phase
- The vendor has completed regression testing for all repairs found and implemented during vendor Acceptance Testing (VAT)
- The vendor has provided ETF with all test materials, test results, and written certification, signed by both the vendor's project manager and the vendor's test team director (an individual separate and apart from the development staff charged with only test and quality assurance responsibility), that all tests have been completed satisfactorily (at a minimum, to the 95 percent level) and that the system is ready for User Acceptance Testing.

As mentioned elsewhere in this RFP, the vendor will be required to provide an independent test team composed of vendor staff who had no hand in developing the system under test. That independent test team will be continuously present and available to assist the ETF users in meeting their UAT responsibilities.

In addition to assisting ETF users in utilizing the test materials and executing the tests, the vendor's independent testing team will also support users in reporting test results and in re-testing, as required, to confirm that all Problem Incident Reports were addressed correctly and thoroughly.

Tests conducted during UAT will be executed against converted data drawn from ETF's current production legacy system as well as against new data added during execution of the test cases. As a result, the vendor will need to accommodate in its project plan and timeline the completion of some

sufficient level of data conversion to provide a satisfactory sample data set. Just as the vendor is responsible for providing all of the test scripts, it is the vendor's responsibility to identify or create **all** of the data required to exercise **all** of the test scenarios that comprise the complete UAT suite of tests. While ETF personnel will bring additional scenarios and data to the UAT, the prior completion of all tests requires that the vendor has identified and used ETF data in their exercising of the UAT scripts.

Regardless of the project schedule, User Acceptance Testing for a rollout phase will not be considered complete until at least 98 percent of the major processes run to completion without major error or issue (and the other 2% have work-arounds). Final cutover of the system has further criteria as described in Section C.7.4.5 Criteria for Final Cutover, below.

The following subsections discuss specific user acceptance testing requirements relating to business process testing scenarios, employer reporting testing, and (member) life cycle testing.

C.7.4.4.1 BUSINESS PROCESS TESTING SCENARIOS

ETF is concerned about the "auditability" of the new BAS application and procedures. Therefore, the following business process testing scenarios must be addressed by the vendor in developing testing plans and materials, informing vendor unit testing[11], and in conducting vendor integration and system testing, and in supporting user acceptance testing. The applicability of the following testing scenarios depends on the particular functional rollout phase of the implementation being tested. Therefore, in order to demonstrate the "auditability" of the new solution, the vendor is responsible for addressing each of the following testing scenarios twice – in the project's first functional rollout phase to which it pertains **and** again prior to the final functional cutover to the new solution:

- With regard to both federal and state income tax, design and conduct tests which demonstrate successful reconciliation of the aggregate amount withheld from all benefit payments (including "manual" and "one-time" checks) issued during the payroll period against the amount calculated to be submitted to tax authorities. This reconciliation of tax withholding must be demonstrated. Complete a test of the 1099-R production process to ensure accurate aggregation of distributions, accurate calculation and reporting of basis recovery and all required tax information
- Design and conduct a test to ensure the required minimum distributions works as desired
- Design and conduct multiple tests as necessary to demonstrate that at all times ETF's manual and computerized records, subsidiary ledgers, control ledger, and reconciled bank balance are in agreement
- To ensure that when members request a refund (separation benefit), processing occurs automatically so they receive benefit of **all** of the appropriate funds in their account, design and conduct tests to confirm that:
  - The account remains in a workflow queue or an "open" status until final earnings and service information is posted; when final posting occurs, the full amount remaining in the member's account is automatically paid to the terminated member

[11] Typically unit test has little to do with business processes, since the testing is concerned with whether the specific code module accomplished (correctly) the functions for which it was designed and implemented. However, the business process defines an environment within which a code module must function, and thus the business informs the unit testing designed for the specific module.

- The separation benefit amount reflects all interest earned by the account through the date of termination.

- Design and conduct tests to demonstrate that the correct actuarial tables and mortality assumptions are used to calculate employer reserve charges and that the correct age and marital status (retiree only, joint /spouse, and survivor) factors from the actuarial tables are applied in calculating future cost of benefits
- Design and conduct tests to demonstrate that when an account is put on "hold" – whether for QDRO or other reasons – that no benefit is distributed from it or change made to it other than by authorized users
- Design and conduct tests to demonstrate the successful reconciliation of all ETF draft accounts using the reconciliation procedures developed and delivered by the vendor, including confirming the accuracy of the outstanding checks report
- Design and conduct a test to ensure that Internal Revenue Code IRC 415 limits are properly enforced
- Design and conduct a test to ensure that IRC 401(a) limits are properly enforced
- Design and conduct tests to confirm that when a user changes the status of a check to "void," the transaction is directed to a different user having appropriate system permissions (e.g., 'supervisory', 'audit', 'review') for review and approval before it is committed to the database. Further, confirm that for each check successfully changed to "void" status, a corresponding correct automatic entry is made to the general ledger
- Design and conduct tests to demonstrate that all subtotals, totals, and grand totals reported or displayed by the BAS can be 'decomposed' (via audit trail) such that the user can identify the source data used to compute the totals. Further, confirm that all appropriate subtotals, totals, and grand totals are provided in all reports
- Design and conduct tests to demonstrate that every automated general ledger entry attributable to the BAS can be identified as to its source and is posted correctly
- Design and conduct tests to demonstrate that the BAS can provide an accurate display and report of all contributions that have been received but not yet posted
- If separate sets of records, files, and/or general ledgers are maintained for calendar year and fiscal year reporting, design and conduct tests to demonstrate that the two ledgers can be reconciled using the reconciliation procedures developed and delivered by the vendor
- Perform a test check run. Design and conduct tests to demonstrate that:
  - Only users with appropriate permissions are able to access and update the check print file
  - The number of checks printed corresponds to the number to be printed per the print file
  - The aggregate amount of all checks printed corresponds to the aggregate amount of checks included in the print file
  - The numbering of all checks printed is correct – i.e., that the first check printed is numbered with the next available check number and that all remaining checks are numbered sequentially
  - A check register file is produced which is accurately identified as a 'trial' or 'final' run and that all amounts and check numbers are reconcilable with the actual checks produced
  - Various deductions from and allocations of the benefit are handled correctly; basis recovery, QDRO, assignment, collections and offset accounts being examples.

- Design and conduct tests to demonstrate that contributions are accurately recorded as to the employer portion vs. member portion (based on the percentage of salary contribution factors pertaining to the particular plan)
- Design and conduct a test to demonstrate the ability to reconcile a given month's payroll (both aggregate dollar amount and number of checks) to the previous pay period. To do so, create a 'test month' in which test transactions are entered consisting of:
  - Setting up several new retirees
  - Terminating / suspending benefits of several retirees
  - Reinstating several retirees whose benefits were previously terminated
  - Entering benefit adjustments for several retirees.

  Then run a trial payroll and confirm that:
  - The aggregate dollar amount of checks in the new payroll trial run is equal to the aggregate dollar amount of the previous period's payroll, plus the amount of benefits paid to the new retirees, minus the benefits of the retirees whose benefits were terminated / suspended, plus the benefit of the retirees who were reinstated, plus/minus the net amount of the benefit adjustments
  - The number of checks printed in the new payroll trial run is equal to the number printed in the previous month's payroll run, plus the number of new retirements, plus the number of reinstated retirees, minus the number of retirees suspended / terminated
  - Confirm the accuracy of a Monthly Payroll Summary Report reflecting the above.
- Design and conduct tests to demonstrate that the system will automatically prevent the user from refunding to a member an amount that exceeds his/her account balance
- Design and execute test cases to demonstrate that, for **all** groups, for **all** types of retirement (e.g., service, disability, death benefits, death in service refunds) and for **all** retirement options (e.g., regular, joint, pop up, level option payment plan):
  - Initial (preliminary) benefit amounts are correctly calculated
  - The account remains in a work queue or "open" status until final earnings and service have been posted
  - When final earnings and service information has been posted, the final benefit / payout amount is accurately calculated, including all applicable interest postings and benefit/annuity adjustments
  - All future benefit checks reflect the recalculated (final) benefit amount
  - (If the final benefit is greater than the preliminary benefit) a "catch-up" (retroactive) check is correctly calculated and automatically issued – based on the difference between the preliminary and final benefit amounts times the number of months the preliminary benefit amount was paid
  - If the final benefit is less than the preliminary benefit, the "overpayment" is correctly calculated and collected from the retiree – via a one-time payment or deduction from the next benefit check.
  - If the deduction exceeds the amount available, demonstrate how the amount is collected from multiple future benefit checks
  - The member's account balance is zero
  - **All** cases of member and spouse death cause **correct** reallocation and recalculation of benefits.

- Design and conduct tests to confirm that death benefits paid to multiple beneficiaries are apportioned correctly among the recipients, and that the total paid to all beneficiaries is equivalent to the total calculated death benefit
- Design and execute test cases to demonstrate that Duty Disability benefits are offset by the appropriate retirement benefit amount
- Design and conduct test cases for ETF-, member-, and employer-entry of enrollment data in the insurance programs
- Design and conduct test cases of Full File system reconciliation of eligibility data between ETF and TPAs
- Design and conduct test cases of employer invoicing
- Design and conduct test cases of member eligibility for insurance and other benefit programs
- Design and conduct test cases to reconcile third party insurance administrators premium payments to employer invoicing
- Design and conduct test cases to submit premium payments to third party insurance administrators
- Design and conduct test cases of the transmission of member data between ETF and the third party insurance administrators
- Design and conduct test cases of the transmission of electronic insurance enrollment data between ETF and its employers
- Design and conduct test cases to add new and to retire insurance and other benefit programs
- Design and conduct test cases to set starting and ending effective dates for third party insurance administrators
- Design and conduct test cases to load annual insurance rate and surcharge changes
- Design and conduct test cases to process claims
- Design and conduct test cases to add new employers to and retire employers from insurance programs and to assign effective dates to the eligibility.

C.7.4.4.2 EMPLOYER REPORTING AND HEALTH PLAN TESTING

In addition to the appropriate VAT of the new Employer Reporting System prior to the start of UAT, the vendor will be required to participate in the testing (and initial support as described in Section C.7.5.3 of this RFP) of employer reporting. Vendor responsibilities in this area include:

- Demonstrating, and training ETF staff in the use of, the new Web-based employer reporting test data bed
- Providing comprehensive, on-site support to ETF staff in comprehensive testing of at least ten-percent (10) of employers reporting earnings and service data. The agencies to be thus supported must include:
  - At least two of ETF's largest employers
  - At least one of ETF's largest health plans
  - At least two of ETF's smallest employer
  - At least one of ETF's smallest health plans

- At least two other employers using **each** of the legacy system reporting modes (e.g., paper, sFTP, XML)
- At least two other benefit plan providers.

The specific agencies subject to combined ETF-vendor testing will be selected by ETF. **All** of the employers and other benefit plan providers selected for combined ETF-vendor testing must be successfully tested (i.e., all earnings and service posting results must match expected results) for at least two reporting cycles, and the employer reconciliation cycle under **both** reporting modes (i.e., that employer's reporting mode under the legacy system and the new Web-based reporting method).

- Providing comprehensive, on-site support to ETF staff in testing the reporting capability of every employer via the employer reporting Web-site at least once.

C.7.4.4.3 LIFE CYCLE TESTING

Life Cycle Testing (LCT) will be conducted prior to the final cutover to the new solution. Test and validation of the accuracy of the data conversion and bridging process will be conducted prior to Life Cycle Testing (see Section C.7.1.2 and Figure 14 Phased Data Conversion and Bridging for additional information). LCT will immediately follow the successful completion of Business Process testing during the rollout of each phase. The vendor will develop a plan for LCT and develop all test materials. The vendor will itself conduct the LCT and certify its successful completion prior to turning LCT test materials over to ETF users for their LCT activities.

LCT will consist of the execution of a series of well-constructed test cases designed to simulate a member's full life cycle from initial enrollment through his/her retirement, eventual death, and distribution of death benefits to beneficiaries. It will address, at a minimum, the following test scenarios / cases:

- Addition of new employers to, withdrawal of employers from, and consolidation of employers within the WRS (including insurance programs)
- Receipt of employer earnings and service report for new member having no enrollment information in the system
- Automatic "triggering" of the appropriate response to that event related to the new member's enrollment – i.e., upon receipt of the earnings and service report, generation of a workflow stream for ETF staff to send an enrollment form to the new member, or automatically enroll the new member, or …
- Receipt of the completed enrollment form and entry of all enrollment information into the system
- Identification of incomplete information on the enrollment form and automatic "triggering" of a request for additional information from the member
- Receipt of the additional information and entry of the related data into the system, completing the enrollment process
- Periodic receipt and posting of additional employer earnings and service data for the member
- Periodic posting of interest to the member's account
- Receipt and entry of updated beneficiary information
- Receipt of notification of member's termination of employment
- Receipt of member's election to participate or cancellation of that participation in variable fund

- Posting member contributions between core and variable funds, when applicable and updating the variable excess or deficiency amount
- Determination that conditional variable cancellations meet conditions to transfer funds from variable fund to core fund and if so, proceed with the transfer
- Transfer unconditional variable cancellations from variable fund to core fund
- Change posting of member contributions between core and variable funds to all core funds for members electing to cancel future contributions to the variable fund
- Receipt of member's application for separation benefit, including rollover information
- Calculation of amount of separation benefit to be paid to terminated member
- Audit / review of separation benefit calculation
- Generation of separation benefit or other refund check to member
- Processing of rollover of portion or all of a separation benefit to member's financial institution
- Receipt of final earnings and service information for member
- Calculation of remaining balance to be refunded to member
- Generation of check for amount of remaining balance
- Confirmation that account has been "zeroed" – both contributions and service credit
- Receipt of employer (different from original employer) earnings and service for the terminated member
- Processing of return to work in a covered position by the member
- Re-enrollment of the member
- Receipt of application to buy back separation benefit from previous period of membership
- Calculation of eligible service credit and cost of buyback, including interest
- Audit / review of buyback calculation
- Generation of letter to member with buyback information
- Receipt of buyback check from member (and/or roll-in of funds from financial institution qualified retirement account)
- Posting of service credit and contributions to member account reflecting buyback of previous service by member
- Receipt of application from member to purchase eligible service
- Entry of purchase of service information into system
- Calculation of cost of purchased service
- Audit / review of purchase of service calculation
- Generation of letter to member with purchase of service information
- Receipt of check from member to purchase service
- Posting of service credit and contributions to member account reflecting purchase of service
- Receipt of notice of death of one of member's designated beneficiaries

- Adjustment of allocation of member's death benefit to remaining beneficiaries
- Receipt of request for a retirement, disability or death benefit estimate
- Receipt of application for retirement from member
- Identification of incomplete information and/or required documents (e.g., date of retirement, spousal information) to process a benefit estimate request
- Identification of incomplete information and/or required documents (e.g., date of retirement, birth certificate) to process retirement application
- Generation of letter to member requesting missing information / documents
- Receipt and entry into system of missing information / documentation
- Calculation of member's and alternate payee's final average earnings and initial benefit amount
- Audit / review of final average salary and initial retirement benefit amount
- Appropriate application of IRC §401(a) and §415 limits
- Generation of retirement benefit estimate letter to member – and any other required correspondence, e.g., retirement benefit letter to the Milwaukee Public Schools
- Transfer of member from active membership to retired status
- Generation of first retirement benefit check / direct deposit / EFT
- Receipt of final earnings and service information for member
- Calculation of final retirement benefit amount
- Audit / review of final retirement benefit amount
- Certification of life insurance amounts at time of retirement
- Calculation of overpayment (if final benefit is less than initial benefit) or underpayment (if final benefit is greater than initial benefit)
- Issuance of "catch-up" payment in event of underpayment
- Issuance of request to member for return of overpayment amount (or setup of deduction from next benefit check[s] to recoup overpayment)
- Receipt of notice of divorce and/or QDRO for all member statuses
- Calculation of benefit split for all aspects of a QDRO
- Audit / review of benefit split
- Receipt of notice of death of retiree or participant
- Calculation of death benefit (lump sum or monthly annuity) for each beneficiary
- Audit-review of death benefit calculation
- Generation of check for lump sum death benefit to each qualified beneficiary
- Addition of qualified beneficiary to retirement payroll in case of monthly annuity
- Close out of retiree or participant's account
- Receipt of notification of death of last beneficiary

- Close out of beneficiary account
- Correct handling and accounting for basis recovery
- Correct accounting for required minimum distribution
- Production of 1099-R, reprint of same, and production of data file for submission to IRS.
- Ability to accept multiple earnings reports for a member – a member who works in two or more positions at the same employer or in two or more positions at separate employers
- Ability for an elected official to terminate one ETF covered job and still remain in his or her elected position and receive a retirement benefit by waiving WRS coverage for the elected position
- Correct calculation and application of annuity adjustments and other benefit adjustment and offsets
- Appropriate action taken in integration with ETF's Controller's Office on accounts receivables recovered from a retirement benefit
- Supplemental payments and/or contributions
- Ability of holds and flags place on a member's account to genuinely restrict access to or activity in the account.
- Receipt of the completed Declaration of Domestic Partnership affidavit and entry of all necessary registry information into the system
- Generation of acknowledgment letter to member on receipt of Domestic Partnership affidavit for entry into the registry
- Identification of incomplete Domestic Partnership information on the affidavit and automatic "triggering" of a request for additional information from the member
- Receipt of the additional Domestic Partnership information and entry of the related data into the system, completing the registry process
- Receipt of the completed Affidavit of Termination of Domestic Partnership and entry of all registry information into the system
- Identification of incomplete Domestic Partnership information on the termination affidavit and automatic "triggering" of a request for additional information from the member
- Receipt of the additional Domestic Partnership information and entry of the related data into the system, completing the registry process
- Generation of termination of a Domestic Partnership letter to one or both partners

LCT must also include a test stream addressing disability benefits of the member. Additional test scenarios / cases that must be addressed in this version of LCT are to include:

- Benefit application processes for all disability programs, both individually and combined
- Benefit calculation/recalculation and audit processes for all disability programs, both individually and combined
- Benefit payment processing for all disability programs, both individually and combined
- Benefit maintenance requirements (Medical Recertification, Income Verification, Tax Return Requests, etc.) for all disability programs, both individually and combined

- Compliance with tax requirements for all disability programs, both individually and combined (issuance of 1099-Rs, W-2s, tax credit letters, etc.)
- Coordination of benefits processes for all disability programs, both individually and combined, with other benefits being received
- Death benefits for all disability programs (when applicable)
- Annual annuity benefit adjustments, limit by floor and update variable ahead or behind.
- Annual benefit adjustment processes for all disability programs (when applicable).

LCT must also include a test stream addressing insurance programs. Additional test scenarios / cases that must be addressed in this version of LCT are to include:

- User enrollment in the insurance programs
- Employer enrollment of members in the insurance programs
- ETF enrollment of members and employers in the insurance programs
- Employer invoicing
- Member eligibility edits for insurances
- Premium payments to third party insurance administrators
- Reconciliation of third party insurance administrators premium payments to employer invoicing
- Transmission of member data between ETF and the TPAs
- Transmission of electronic insurance enrollment data between ETF and its employers
- Full File eligibility data reconciliation with TPAs
- Addition of new and withdrawal of fringe benefits
- Addition and removal of third party insurance administrators
- Loading of annual insurance rate and surcharge changes
- Processing of claims.

As mentioned elsewhere in this RFP, the vendor will be required to provide an independent test team composed of vendor staff who had no hand in developing the system under test. That independent test team will be continuously present and available to assist the ETF users in meeting their LCT responsibilities.

In addition to assisting ETF users in utilizing the test materials and executing the tests, the vendor's independent testing team will also support users in reporting test results and in re-testing, as required, to confirm that all Problem Incident Reports were addressed correctly and thoroughly.

C.7.4.5 CRITERIA FOR FINAL CUTOVER

The vendor must certify in writing, signed by both the vendor's project manager and the vendor's test director (an individual separate and apart from the development staff, charged only with test and quality assurance responsibility), that the following criteria have been met prior to the cutover to the "live" processing for each functional rollout of the new system:

- Successful ETF execution of all User Acceptance Testing:

  - Successful execution of all Business Process Testing (including a match {to the penny} between old and new system calculations of 100 benefit calculations)
  - Successful execution of full Life Cycle Testing
  - Successful execution of Employer Reporting Testing
  - Successful execution of Actuarial Extract File Testing
  - Successful execution of Backup and Recovery Testing
- Successful vendor execution of all Vendor Acceptance Testing:
  - Successful execution of a full Regression test
  - Successful execution of complete system testing
  - Successful execution of a full stress test cycle
  - Successful execution of full integration test
  - Successful benchmark test
  - Successful test and execution of all failover, backup and recovery operations
  - Successful test of application, data, and infrastructure security
- Successful reconciliation of all ETF checking accounts (including confirmation of the accuracy of the outstanding checks report), using the reconciliation procedures delivered by the vendor, at least once every two weeks during UAT; the reconciliation process must include "manually" generated checks
- Successful reconciliation of member and employer reserves in the BAS database against general ledger reserve balances, using the reconciliation procedures delivered by the vendor, at least once every two weeks during UAT
- Successful reconciliation of the calendar year general ledger and the fiscal year general ledger, using the reconciliation procedures delivered by the vendor, at least once every two weeks during UAT
- Successful reconciliation of benefit payroll to that of the preceding pay period

In addition, there must be no PIRs outstanding that block a process for which there is no workaround (i.e., critical PIRs) and no more than 25 non-critical PIRs outstanding.

C.7.5 VENDOR TRANSITION SUPPORT DURING CUTOVER

The transition from the current business processes to those in each phase and each major sub-system must be planned and managed by the vendor. Having implemented their solution in other locations and with other clients, the vendor understands that having received ETF's approval of the UAT phase of testing is just one milestone in ETF's transition into competent usage of the new solution – or of any of its critical subsystems.

The vendor is required in their response to detail the cutover support plans for each phase of the BAS solution and for the specific sub-systems as indicated in the sections that follow.

C.7.5.1 BENEFITS ADMINISTRATION SYSTEM CUTOVER AND TRANSITION SUPPORT

Each rollout phase of the new solution will bring significant changes to the way that ETF executes their business processes, some of them operational (new backup processes, new system reports or status dashboards to monitor and understand), and some of them user-oriented. ETF's users and IT

staff will have undergone training, and many will have participated in UAT, but they will not be fully prepared for the sudden change in their lives.

To assist in the transition, vendors are required to plan for and provide a transition support team for the period from two (2) weeks before the scheduled cutover milestone until four (4) weeks afterwards[12]. The team of six (6) people is to be staffed by vendor personnel with the following characteristics:

- A broad understanding of the solution
- Excellent people skills
- Excellent communication skills (possibly trainers)
- Patience for those times when they will be asked the same question five times in ten minutes

ETF believes that the number of vendor staff devoted full-time to transition support may decrease during the transition period, but they require the full staffing for at least the first half of the post-go-live date.

C.7.5.2 MEMBER/BENEFIT RECIPIENT CUTOVER AND TRANSITION SUPPORT

The vendor will be responsible for assisting in the staffing of a benefit recipient ePortal addition to the existing help desk with qualified individuals who can address members' technical and operational issues during the period covering the rollout, final release, and subsequent initial member usage of the member/benefit recipient ePortal capability. Among other things, the help desk personnel will be responsible for maintaining access permissions, resetting user IDs and passwords, and providing technical responses and business/functional responses. The required timeframe for staffing the ePortal extension to the help desk will be:

- **Duration** – The help desk will exist and function for the one week prior to and six months after the go live date for benefit recipient ePortal capability
- **Transition from vendor to ETF** – Initially ETF will staff the help desk with the existing complement of staff members. Within two months of the go live date of the ePortal capability, the vendor must provide (and obtain ETF approval of) a transition plan identifying the tasks that will be required to fully transition the ePortal help desk responsibility to ETF
- **Cutover from vendor to ETF** – Two months prior to the completion of the vendor-staffed ePortal help desk, the vendor, along with appropriate ETF staff, will execute the (approved) transition plan.

It is understood that participation by ETF staff in this effort is critical to its success. Therefore, the vendor must discuss in its proposal the role to be played by ETF staff vs. vendor staff. The vendor is to include in its proposed staffing plan the estimated number of hours that ETF must be prepared to devote to it.

Vendor must specify the number of contact hours that will be provided for training as well as the number of vendor staff to be assigned to the ePortal extension to the benefit recipient help desk.

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[12] Obviously if the milestone date changes, the window during which the transition support team is active at ETF's location will also move.

C.7.5.3 EMPLOYER REPORTING CUTOVER AND TRANSITION SUPPORT

The vendor will be responsible for staffing an employer help desk with qualified individuals who can address employers' technical and operational issues during the transition period from the old reporting mode / format to the new, required reporting mode / format. The employer help desk personnel will be responsible for maintaining access permissions, resetting user IDs and passwords, and providing technical responses and business/functional responses. The required timeframe for staffing the help desk will be:

- **Duration** – The help desk will exist and function for the two months prior to and six months after the go live date for Web-based employer reporting
- **Transition from vendor to ETF** – Initially ETF will augment the vendor staff of the employer help desk with at least two ETF staff members. Within two months of the go live date for Web-based employer reporting, the vendor must provide (and obtain ETF approval of) a transition plan identifying the tasks that will be required to transition the help desk responsibility to ETF
- **Cutover from vendor to ETF** – Two months prior to the completion of the vendor-staffed employer reporting help desk, the vendor, along with appropriate ETF staff, will execute the (approved) transition plan.

It is understood that participation by ETF staff in this effort is critical to its success. Therefore, the vendor must discuss in its proposal the role to be played by ETF staff vs. vendor staff. The vendor is to include in its proposed staffing plan the estimated number of hours that ETF must be prepared to devote to it. However, in order for the employer education initiative to succeed, a **joint effort** between the vendor and ETF is essential. Ultimately the ownership of this process, and the responsibility for its success, belongs to the vendor.

Vendor must specify the number of contact hours that will be provided for training as well as the number of vendor staff to be assigned to the help desk.

Until the conditions described in the section on testing of the Employer Reporting System have been met, the vendor must continue to provide support of ETF staff on this critical subsystem.

C.7.5.4 ECM OPERATIONS CUTOVER AND TRANSITION SUPPORT

In its proposal, the vendor must agree to provide thirty days of <u>end-user ECM production / transition support</u> as described below.

It is essential that any conversion required of the existing image database and indexes shall have been completed by the vendor prior to undertaking the cutover and transition support task. In addition, cutover to this capability must be structured such that it is not reliant upon any other functional rollout phase being implemented first. Cutover to ECM operations, for example, cannot be predicated on active member functionality being up and running.

Once the ECM solution has been installed, configured, customized to ETF's specific requirements and thoroughly tested, it will be used on a day forward basis to capture images of incoming and outgoing documents (i.e., as an Electronic File Cabinet) even before its integration with the BAS solution. For the first thirty (30) business days of its use in the production mode, the vendor will provide ECM operations support to ETF.

At the beginning of the thirty-day support period, the vendor will be responsible for executing ETF ECM operations. The stimuli and workload will come from work that "flows" into and through ETF, requiring imaging. In addition, ETF may produce outgoing documents that will have to be imaged. The vendor staff will execute the necessary steps (e.g., preparation, scanning, indexing, and image

quality assurance) associated with the ECM solution. ETF staff will not process any work; they will merely monitor the process. The vendor should view this period as an opportunity to continue to train ETF staff.

At an appropriate point during the thirty-day support period, the vendor is responsible for transitioning imaging operations to ETF. Vendor staff will assist / guide / oversee ETF staff in the necessary steps (e.g., preparation, scanning, indexing, and image quality assurance) associated with the ECM solution. Once the transition has occurred, vendor staff will not process any work; they will merely monitor the process and provide guidance, support, and problem resolution assistance as necessary.

The transition of responsibilities from vendor staff to ETF staff will occur at a mutually agreeable point in time when the vendor has proven the approach and ETF is able to support the operation.

Vendors, in their proposals for these activities, are to present their approach and methodology for how they will address this requirement and their anticipated transition point within the 30-day support period.

C.8 OTHER REQUIRED SERVICES AND DELIVERABLES (INTRODUCTION)

In addition to the business, technology and project management requirements specified, ETF has identified several additional areas that are of importance in selecting a vendor. These requirements have been accumulated under a single heading — Other Required Services and Deliverables. The intent of this section is to inform the vendor of its responsibilities and the expectations for its conduct over the duration of its relationship with ETF in the following areas:

- Disaster recovery planning
- Vendor support during- and transition to ETF subsequent to implementation
- Warranty and support
- Miscellaneous.

C.8.1 DISASTER RECOVERY PLAN (DRP)

The vendor will be required to produce a detailed, comprehensive Disaster Recovery Plan (DRP). The vendor is to provide only information processing disaster recovery planning and not a business- or enterprise-wide recovery plan.

The purpose of the DRP is to:

- Avert an interruption of service wherever possible
- In the event a disaster does occur, assist ETF in accomplishing degraded-mode information processing activities until the problem is resolved
- Assist ETF in accomplishing a speedy, orderly return to normal production mode
- Ensure that one of ETF's primary goals, "getting the checks out on-time," is fully supported.

The DRP will address <u>all</u> aspects of the new solution, including but not necessarily limited to:

- Hardware (all platforms, including network and PCs)
- Peripherals
- Operating system-level software
- Applications software
- Telecommunications
- Data
- Backup and restore procedures
- Off-site, cyclical media storage
- Workflow
- Imaging activities
- Procedures (both end-user and computer-related).

The DRP document must include a systems and software configuration inventory that will form the basis for system replacement in the event of a disaster. It will include actions to be taken:

- In the event any single component of the new solution is out-of-service
- In the event of a "major" disaster that disables most of or all ETF's processing capabilities
- To restore normal operations once the disaster situation has been resolved.

It will address both the actions that need to be taken to resolve the emergency situation and restore normal operations, and the alternative procedures that will be observed by system users to continue day-to-day business transactions while the resolution effort is in progress. Disaster recovery team members will be identified and their roles will be defined.

Additional requirements relating to the DRP include:

1. The DRP must support the phased implementation required by ETF and proposed by the vendor. The DRP must be in place prior to cutover of each phase of the new solution, beginning with Phase 4. A draft will be submitted to ETF for review at least one (1) month prior to scheduled system cutover for each phase.
2. The vendor will be expected to evaluate various disaster scenarios and recommend the level of backup capability justified by the criticality of various ETF functions, e.g.:
   - The most critical functions may be moved off-site to a backup site until the disaster is resolved.
   - Less critical functions may be handled in a manual fashion until the disaster is resolved.
   - Some functions may be suspended entirely until normal processing capabilities are restored.
3. The DRP must include written procedures to be followed in each case. It must also include a training plan aimed at:
   - Familiarizing disaster recovery team members with how to handle a crisis using the DRP
   - Cross training team members appropriately so that recovery procedures are not reliant on the presence of any single team member
   - Providing to system users and technical support staff an understanding of when and how to notify disaster recovery team members of a crisis.
4. The DRP must include a section describing how to test the plan in a "dry run" situation. It must also include a description of how best to conduct a periodic structured review of the plan itself and the processing environment and then update the plan appropriately. Use of a commercially available software tool to aid in disaster recovery planning would be favored. If such a tool is utilized by the vendor in developing the DRP, it must be delivered to ETF for on-going use in updating the DRP – therefore, its cost must then be included in the vendor's cost proposal. The vendor must perform a test execution of the Disaster Recovery Plan and document the outcome of testing. The Contractor must provide certification, in writing, that the disaster recovery plan worked as defined.
5. ETF will review the initial draft and provide feedback to the vendor, so that the DRP can be appropriately revised.
6. Vendors must specifically address in their DRP how they will ensure that the suite of BAS-supported critical business services identified in the ETF COOP Recovery Time Objectives (RTO) (see Appendix E.18) will not be compromised in any way
7. Vendors are to include in their proposals an outline of the DRP document (and discussion of any software tools to be used in its preparation).

C.8.2 SYSTEMS SUPPORT DURING BAS IMPLEMENTATION

As noted is Section C.5.7 Installation and Configuration, ETF maintains its own data center on site at its Badger Road facility. However, half of the organization is in an office building three quarters of a mile away and dependent on an inter-office network that is occasionally overloaded. In addition, the entire organization will probably consolidate in a new building at some time during the life of the BAS implementation project (though neither the destination nor the date of the move are certain at this time). Finally, the Wisconsin Department of Administration has made clear that they believe strongly in the consolidation of state agency IT equipment – as evidenced by the state's strong current push to host the about-to-be-implemented FMIS solution on state-owned equipment located at the state's Data Center.

For all of the reasons listed above, ETF believes that any of the BAS environments could be hosted at locations other than the Badger Road server room. If ETF decides to maintain the environments in a state-supported location, ETF believes that one of the physical environments should be at the state's Data Center, while the other should be separated from that Data Center by some distance, probably at the state-run data recovery site. Both of these sites are in the Madison area and require no special travel accommodations on the part of a vendor.

However, locating the hardware in the state- (or other designee-) provided facilities does not imply that the third party's "shop" should provide support of the environments during the time that they are being used purely to stage the solution development.

For the purposes of clarity in this discussion, ETF supplies the following three definitions of levels of support:

- Operations Support:
  - Set up new batch jobs and manage changes to them
  - Schedule, run and monitor batch jobs (including backup and restore) in production environments
  - Manage the exchange of data files (ingests and outputs) with business partners
  - Troubleshoot batch program execution issues related to data problems; correct bad data to allow restarts
- Application Server Support
  - Install, update and patch software (server, database, middleware, application, commodity software and utilities such as code repositories, build tools, problem tracking systems, wikis, etc.)
  - Monitor, troubleshoot and resolve issues related to the operation and performance/capacity of servers
- Application Support
  - Develop and maintain application programs and systems
  - Investigate application program errors and correct them

ETF requires that the vendor provide all support (operations, application server, and application) of the BAS systems during development and test, only turning the tested and accepted portion of the solution (including disaster recovery) over to ETF at go-live of any particular phase – at which point ETF (or its designee) would gradually take on operations support while the vendor would retain application server and application support for the solution until final cut-over and acceptance.

C.8.3 TRANSITION TO ETF-PROVIDED POST GO-LIVE IT SUPPORT

Note that there is a mandatory Option covering Post-Implementation Support, the acceptance of which would change the requirements expressed below – see Section C.9.3.

Nothing in the discussion about transition to post-Go-Live support that follows is to be construed as lessening the requirements for on-going, phase-by-phase training of ETF's IT personnel as described in Section C.7.3.2 Technical Staff Training. In fact, some of the requirements below for transitioning to ETF-provided support and enhancement capabilities may inform training that is delivered under the requirements expressed in the earlier section. In addition, although the discussion below uses ETF throughout, the actual staffing of support for operations, for example, may be provided by an organization under contract to ETF, rather than actual ETF staff. For the purposes of the response to the RFP, the vendor is to assume that all post Go-Live support not provided by the vendor will be provided by ETF.

Subsequent to implementation rollout, ETF plans to gradually assume responsibility for all aspects of the BAS solution using its own IT resources (e.g., project managers, programmers, analysts, database administrators, testers, technical writers, network engineers). Under this plan, ETF would require the vendor to provide **all source code required to operate the BAS solution, including relevant third-party source code software**, libraries, DLLs, toolsets, design documentation, and methodologies used in the development and maintenance of the BAS solution. The vendor must also provide ETF staff all required training on the various tools used in this effort (refer to Section C.5.6 Software for expectations for source code delivery) and on the system itself. ETF wishes to emphasize that its expectation of this hand-over is to have the vendor provide sufficient knowledge transfer over the multi-year implementation period such that, as a result of the knowledge transfer, the ETF technical staff are capable of providing support on par to that previously provided by the vendor. Finally, as called for in Section C.8.2 Systems Support during BAS Implementation, above, the vendor would provide all necessary application support during the training and transition period.

ETF is concerned that at the time of final Go-Live, when the vendor leaves the system for ETF to manage, ETF may not have the requisite knowledge to perform their own application support, possibly because of staff turnover during the project or because they may not have been as immersed in the BAS implementation as planned. The vendor, in their response, must address how they will guarantee that ETF has the requisite knowledge for the system operation and support before the vendor leaves the premises upon final cutover to and acceptance of the new environment. Among other topics, ETF asks that the vendor address:

- What vendor staff members the vendor will task with ensuring the transfer of knowledge, e.g., training staff, members of the project team, the test team, a team specifically charged with ensuring knowledge transfer, etc.
- How and when the vendor will ensure that ETF staff members have gained the requisite knowledge (including what steps the vendor will take should ETF staff be judged "not ready" when the vendor finally hands off the system. Note that this is not to be confused with post-implementation warranty support described in Section C.8.4.1 BAS Application Warranty.

ETF points out that one way to address the issue of ETF staff member readiness is to provide post-implementation support and training as part of the initial plan for the project. Vendor staff provided for this post-implementation support and training must have the appropriate background for the area that they are supporting (e.g., IT, retirement processing, portal support, etc.). Although the ideal approach to this requirement might be for the vendor to provide a person who provided programming support during the implementation, it will be acceptable for the vendor to provide an alternate (e.g., a programmer who was part of the test or training teams) so long as the person assigned to the

support effort is not new to the project and can adequately provide the appropriate support during this period.

As part of its proposal, the vendor is required to provide a high-level plan detailing the proposed timeframes, responsibilities, staffing requirements, etc., to accomplish the required:

- Decreasing vendor-staffed support for the BAS
- Correspondingly increasing ETF-staffed support for the BAS.

Vendor-provided training in the architecture, support, and future enhancement of the BAS solution – to include such certification as is necessary to ensure that ETF personnel are appropriately trained before the vendor departs the premises.

ETF also recognizes that a significant component of the required implementation effort will be education of ETF staff. Therefore, it will be important for the vendor to provide staff accomplished in the communication of technical information and concepts.

The "Transition to ETF-provided Post Go-Live IT Support" must include training on the use of the tools necessary for ETF to maintain, enhance, and support the BAS application as well as all other components of the information architecture – e.g., imaging, workflow, Web-enablement.

With respect to BAS Support, training must be consistent with the requirements outlined in Section C.7.3.2 Technical Staff Training, and must include all ETF technical staff identified in the Current ETF Technical Skills matrix found in Section C.6.4.1 ETF Project Staffing plus three server administrators and two desktop support staff.

ETF requests that training be provided on-site in Madison. It is understood, however, that some training may only be available through a certified trainer outside of the Madison area. For this type of training, the vendor must provide what the training is, its duration, its location, and the profile of the ETF staff who should attend.

The vendor will include in its proposal a top-level technical staff training plan that identifies the specific topics that will be covered. This training plan must also identify the courses that will be provided (including a brief description of each course's contents) and must include descriptions of:

- Materials/facilities to be provided by ETF
- Training materials that will be developed /delivered by the Proposer
- The number of hours required by ETF technical staff members, by job category, for attending classroom sessions, training laboratories, independent study, and working with Proposer mentors.

Each training course must be offered twice so that ETF staff do not all have to be trained at one time. Courses might be scheduled early in the development process and late in the process. Vendors should account for such multiple class sessions in their price calculations.

It is incumbent on the vendor to develop a certification process by which two objectives are accomplished:

- The vendor can certify that it has provided comprehensive training on all aspects of the BAS solution and that there are no areas or subjects for which knowledge transfer has not been provided, AND
- ETF IT staff members are fully able to demonstrate (through tests or other certification processes) that they are fully competent in all of the components necessary to provide ongoing support and enhancement of the BAS solution.

C.8.4 WARRANTY AND SUPPORT

The sections that follow provide discussion of the various aspects of warranty and support that are required of the vendor.

C.8.4.1 BAS APPLICATION WARRANTY

With regard to the customized BAS application the vendor must warranty that it will operate, in its entirety, in accordance with the RFP's requirements and the specifications approved by ETF, for 12 months after final turnover and acceptance of the last phase of the project. The cost for this warranty should be included in the vendor's cost proposal and be so identified. This implies a longer warranty period for portions delivered earlier in the project. If a component of the BAS solution (e.g., imaging software, Web server software) has a version upgrade, the vendor shall be responsible for upgrading such component without any additional cost to ETF.

C.8.4.1.1 STATUTORY AND REGULATORY CHANGES

For statutory and regulatory changes that have been necessitated by any federal government agency, board of review, federal statute, or federal directive (including but not limited to IRS, Department of Labor, Department of the Treasury, and ERISA) from the point of contract award through the end of the warranty period, including changes in the federal tax withholding tables, ETF will not be charged. Rather, this functionality will be provided to ETF at no additional cost. Following the warranty period, such changes will be provided to ETF for as long as ETF maintains a support arrangement with the vendor. The annual software license and maintenance fee or other such fee will be included in the vendor's cost proposal and so identified.

C.8.4.1.2 IMPLEMENTATION OF NEW MODULES AND FUNCTIONALITY

For new functionality and modules developed by the vendor for other clients subsequent to the contract date, the vendor must agree that within ninety (90) days of the announcement of such new functionality or module, the vendor will provide ETF with a "not-to-exceed" cost to implement such new software with all necessary ETF customizations.

C.8.4.1.3 SPECIAL WARRANTY CONDITION FOR CERTAIN FUNCTIONALITY

ETF understands that even with a 12 month warranty of the BAS, for reasons that are currently unknown, certain functionality may not be executed for the first time even within the standard 12-month warranty period set forth above. **To protect ETF in these cases, the vendor must provide a special warranty condition on every type of functionality that falls into this category.** Examples of such functionality include:

- Annual member account statements
- Annual tax processing
- Annual accounting reconciliation procedures
- Annual COLA processing
- 1099-R processing
- Fiscal and calendar year closing
- Quarterly or annual interest posting.

Once the detailed project work plan is completed, the vendor will know the implementation dates of the solution's various functionality. Based on these dates and discussions with ETF, six months prior to the final scheduled cutover, the vendor will be aware of which functions will not be executed by ETF during the period covered by the 12 warranty. At that point ETF and vendor will jointly develop a detailed list of the functionality to which this special warranty condition applies. The 12-month warranty period for these processes will start the first time the process is run live in the production environment. For example, assume the membership phase is implemented October 2016, and membership statements are not run until October 1, 2017. The warranty period on the membership statements would run from October 1, 2017 through September 30, 2018.

In its proposal, the vendor must agree to the terms of this requirement.

C.8.4.1.4 LIMITATIONS

In Section B-1.6 of their technical proposal, vendors must identify any and all limitations and constraints with respect to software maintenance and warranty. They must be explained in terms of risk, change control, and cost implication. If the vendor does not identify such limitations and constraints and if they are not all included in the single, appropriately labeled section, then warranty and maintenance protection afforded ETF, and its associated costs, will be as described above without limitation or constraint.

C.8.4.2 SOFTWARE SUPPORT

For every software license that will be delivered under the contract, vendors must include in their technical and cost proposals, as part of the procurement's mandatory requirements, guaranteed on-site maintenance support during the Principal Period of Maintenance (PPM) <u>for the continuous period beginning on the date of acquisition of the component and ending 12-months after final turnover and acceptance of the last phase of the project</u>. For this purpose, PPM is defined as 7:00 AM through 5:00 PM, Monday through Friday, except ETF holidays. Acquisition of a software component is defined as delivery, setup, installation, testing, configuration, and written acceptance by ETF.

Although ETF recognizes that manufacturers differ in their definitions of the terms "warranty" and "maintenance," that difference is immaterial to the requirements stated in this section. It will be the vendor's responsibility to track the expiration of initial warranties and to obtain extended maintenance coverage as necessary to fulfill the ETF requirements for on-site support through the end of the 12-month warranty period following final turnover and acceptance.

ETF also recognizes that software may be delivered in a "staggered" fashion. Although the project schedule mandates that the infrastructure for mandatory requirements must be delivered and installed within the period specified in Table 30 in Section C.3 Project Timetable – Major Deliverables, software relating to some BAS components and authorized options may be delivered and installed much later in the project. It is ETF's objective NOT to pay for support on a component until it has been installed and accepted, and then to receive continuous guaranteed support through the end of the 12-month warranty period following final system turnover and acceptance. Therefore, for example, it will not be acceptable for the vendor to quote three full years of warranty and maintenance support on every component, assuming the project plan is two years in duration.

Further, it is likely that some industry support contracts must be renewed for a full year, which implies, for example, that a component acquired nine months prior to final turnover and acceptance, may be subject to (maintenance contract) renewal three months after final turnover and acceptance. In this particular case, the contractor would be required to pay for coverage through three PLUS 12

months after final turnover and acceptance in order to meet the minimum requirement for 12 months of coverage beyond the end of the project. Based on the work plan submitted, vendors must factor such additional costs into their cost proposals.

The cost to be quoted by the vendor for satisfying the requirements of this section will depend directly on the length of the project as estimated by the vendor in its work plan. Therefore, if completion of the project is delayed relative to the work plan, the cost to the vendor of satisfying maintenance requirements will increase. If the delay is caused by the vendor's failure to meet project deadlines or any other action, or failure to act, on the part of the vendor, the increased cost of maintenance support will be borne by the vendor. If the delay is caused by ETF actions (e.g., significant new requirements introduced during the course of the project or major ETF-desired schedule changes), the increased cost of maintenance support will be handled through standard project change control procedures, subject to the provisions of Section C.6.3.7.

In their response to this section in the technical proposal, vendors are to describe the support they will provide, confirm their acceptance of the requirements stated in this section, and list all of the vendors / service providers who will provide the actual warranty and maintenance support for all software.

Vendor must use the following, or a similar, format to summarize the software support to be provided:

Table 40 Sample Software Support Documentation

SOFTWARE COMPONENT	SUPPORT PROVIDER	DURATION OF ORIGINAL WARRANTY

C.8.5 MISCELLANEOUS

C.8.5.1 SYSTEM SECURITY PLAN

The vendor will be required to produce a detailed System Security Plan.

The purpose of this plan is to provide ETF with an overview of **all** of the security requirements associated with the BAS application throughout its life cycle. The plan must describe the processes and controls that are necessary to protect the application from loss, misuse, or unauthorized access to or modification of information.

Therefore the vendor's Security Plan must encompass at least the following:

- Security roles and responsibilities
- Protection against loss – continuity of system data:
  - System backup procedures – covering topics such as:

- Candidate information to be backed up (critical application components, configuration files, member data, event logs)
- Backup processes
- Suggested backup schedule for the different types of candidate data mentioned above
- Use of the second physical environment as a backup for the backup processes
- Suggested handling of backed-up data and media (off-site storage, cycles, eventual destruction, etc.)

- Disaster and recovery planning – covering such topics as:
  - The Disaster Recovery Plan discussed elsewhere in this RFP (see Section C.8.1)
  - Recovery procedures using backed up system information (in the case of a non-disaster)
- Software configuration management
- Security incident handling, including, for example, system intrusion detection, denial of service attacks, etc.
- Physical environment controls (power, lighting, fire, climate, water, etc.)

- Protection against misuse – inappropriate access to system:
  - User and device authentication
  - System administration procedures:
    - Protection against viruses, worms, spyware, etc.
    - Protection against possible denial of service attacks
    - Definition of user security profiles, addition of new users, etc.
    - Physical security (locks, security logs)
    - Wireless access
    - Remote access
    - Mobile device access
  - Self-Service Access
    - Member / Retiree Self-Service Access
    - Employer Self-Service Access
  - Event logging
  - System interface security
  - Security training
- Protection against unauthorized access to or modification of data:
  - Access control policy and enforcement
  - Separation of duties and system privileges
  - PINs or passwords and other security controls on member web-based access
  - Appropriate methods for providing secure access for staff when out of the office

- Protection against system penetration by outside entities, the security aspects of such penetration and what assessments are to be done to ensure against such penetration
- Audit trails
- Data encryption:
  - Employer-submitted data
  - Web-based access to data by members, retirees and staff
- Vulnerability scanning
- Data security during project execution
  - Description of vendor staff security education for this project
  - Agreement to provide (if requested) evidence of completed background checks on project staff
  - Description of system access control (applied to both vendor and ETF staff) used during implementation
  - Description of process for environments will be monitored to determine if breach occurs (including tools used for monitoring and monthly reporting)
  - Steps to take should a breach occur during project execution
  - Discussion of monitoring of jump drives, memory sticks, and other portable memory devices during project
  - Discussion of procedures for securing data if taken off-site
  - Discussion of steps taken to ensure use of dummy data in training, testing, documentation, etc.
  - Methods used to secure data used in testing and repair – and scrubbing data subsequent to repair completion
  - Methods used to secure printed copies of data used during system implementation and destruction of same once project is complete
  - Methods used to test, validate and secure system patches during project
  - Methods used to secure technical system information (including passwords) prior to and during knowledge transfer to ETF.

- Recommendations for monitoring the application's ongoing security requirements.
- Test procedures that can be incorporated into the test plans and activities described in Section C.7.4 of the RFP

Where topics in the security plan are covered in depth in other deliverables for which the vendor is responsible, the Security Plan can simply reference the other deliverable (e.g., Disaster Recovery Plan). However, security of data, access, etc., remains a concern from the start of the project. Therefore it is important that the Security Plan address the issues mentioned above, not just post roll-out, but also during the system implementation. Should the cross-referenced material mentioned above not be complete, the vendor must provide sufficient pertinent information within the operating Security Plan to provide guidance until the referenced material is complete.

The vendor is to supply a provisional plan covering security during project execution as part of their proposal. That provisional plan (as modified by agreement with ETF) will govern security until the

delivery of the final System Security Plan. The vendor must deliver a completed, detailed System Security Plan within the period specified in Table 30 in Section C.3 Project Timetable – Major Deliverables.

C.8.5.2 IT SECURITY CERTIFICATION AND ACCREDITATION

The Federal Government has developed a program and guidelines under which the security of IT systems in support of the government can be evaluated in repeatable, comparable, consistent fashion. ETF wishes to apply those guidelines to the certification of the security of the new BAS application, the program under which it is implemented and the resulting business environment in which it will continue to operate. The vendor is responsible for developing their work and implementation plans to include IT Security Certification and Accreditation activities for each release, performed by an independent contractor as described in NIST Special Publication 800-37, *Guide for the Security Certification and Accreditation of Federal Information Systems.*

A third-party organization, selected by ETF, will, at a minimum, assist ETF in the certification of the new BAS solution through execution of the following phases (as described in detail in the above-mentioned Guide):

- Initiation Phase
- Security Certification Phase
- Security Accreditation Phase
- Continuous Monitoring Phase.

The information security program will include:

- Periodic assessments of risk, including the magnitude of harm that could result from the unauthorized access, use, disclosure, disruption, modification, or destruction of information and information systems that support the operations and assets of the agency
- Policies and procedures that are based on risk assessments, cost-effectively reduce information security risks to an acceptable level, and ensure that information security is addressed throughout the life cycle of each agency information system
- Subordinate plans for providing adequate information security for networks, facilities, information systems, or groups of information systems, as appropriate
- Security awareness training to inform personnel (including contractors and other users of information systems that support the operations and assets of the agency) of the information security risks associated with their activities and their responsibilities in complying with agency policies and procedures designed to reduce these risks
- Periodic testing and evaluation of the effectiveness of information security policies, procedures, practices, and security controls to be performed with a frequency depending on risk, but no less than annually
- A process for planning, implementing, evaluating, and documenting remedial actions to address any deficiencies in the information security policies, procedures, and practices of the agency
- Procedures for detecting, reporting, and responding to security incidents
- Plans and procedures to ensure continuity of operations for information systems that support the operations and assets of the agency.

As with the Vulnerability Assessment described in Section C.5.8.8, upon completion of the assessment, the third party organization will review all events with ETF personnel, determine which of the identified shortcomings are false positives and which actually need repair and agree upon any remaining shortcomings. In the event there remain shortcomings in the system security, the vendor will be immediately notified. The vendor will be responsible for rectifying all remaining shortcomings within ten (10) business days of being advised of them. The rectification effort may consist of any combination, or all, of the following elements: additional hardware components, additional software tools, installation services, and/or configuration services. It must include suitable testing to confirm to ETF's satisfaction that all of the identified security shortcomings have been eliminated. All costs associated with the rectification effort will be borne by the vendor.

In the event that the vendor is unable to resolve all system security issues to the satisfaction of ETF and the third-party assessment organization, ETF reserves the right (and will notify the vendor of its intent) to engage the services of another (different from the organization doing the system security analysis) third-party organization to resolve all remaining network security issues. In this situation, the vendor will issue a credit to ETF for the full amount of the cost of the third-party organization's efforts to correct the situation. The credit will be applied to the first invoice issued by the vendor to ETF following notification to the vendor of the amount expended on the third-party services.

C.9 PROJECT OPTIONS (INTRODUCTION)

The project has been divided into mandatory and optional portions. This section and all of its subsections identify the optional project areas.

Vendors must respond to and bid all of the options. They are optional only in the sense that ETF will have the option of authorizing them. ETF may choose to authorize no options or any one, any combination, or all of the options. ETF will make a decision as to whether or not to authorize each option at the time of contract negotiations.

C.9.1 SAVINGS FROM OFFSHORE[13] DEVELOPMENT

ETF's acceptance of this option would alter the requirements expressed in Section C.5.6.3 Offshore Development of this RFP.

ETF is aware that some retirement system solution providers have turned to offshore development facilities to achieve economies in costs related to the delivery of various aspects of their solutions and thus enhance their competitive position in the marketplace. ETF is not necessarily opposed to this approach. However, ETF will require that its prime provider of services for this project be a United States corporation, and that any offshore development related to this project constitute less than twenty five percent of the development effort as measured by the proportion of the effort (hours of vendor staff) devoted to the project. ETF is concerned that if the offshore development model is not carefully managed, any savings in hourly rates may be more than offset by difficulties in related areas of the effort, especially project team communication and responsiveness.

In their response to this option, vendors are required to discuss how optional offshore development facilities might be utilized were ETF to accept the option. That discussion must include provision of the following additional information:

- The proportion of the overall effort that will be met by the offshore development facility in terms of man-hours, i.e., what percent of the person hours of the overall effort will be done offshore?
- The location of the offshore development facility and a description of its resources, attributes, etc.
- If the time zone of the off-shore location is different by more than four hours from that of ETF, a description of the means taken to ensure constant, reliable communication, e.g., ETF does not want its staff having to attend mid-night conference calls
- For what other public retirement system clients' implementations has the vendor used the offshore development facilities being proposed to ETF? Were the offshore resources used for the same duties and in roughly the same proportion as is being proposed to ETF? What percentages of those overall efforts were done offshore?
- The "boundary" that will exist between domestic support and offshore support – i.e., will U.S.-based vendor staff be responsible for all on-site work in terms of requirements definition, programming specifications, training, and support, backed up by an offshore programming team, or will offshore personnel also participate in on-site activities? If offshore resources will be involved in on-site activities, please describe those duties and responsibilities in detail.

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[13] For the remainder of this section, the term offshore shall include all countries not part of the fifty United States (including its territories and possessions) and Canada.

- If offshore personnel will be involved in interfacing with ETF staff, what assurance is offered that:
  - No language barriers will be encountered?
  - The offshore staff assigned will be sufficiently familiar with the vendor's solution, U.S. 'culture', and retirement systems in general to fulfill their responsibilities as efficiently as would comparable U.S.-based staff?
- Will the use of offshore resources be restricted only to the original development effort, or would they also be utilized to provide subsequent maintenance and support services (if those options are selected)?
- What quality ratings have been earned by the proposed offshore development facility (ISO 9000, CMM, SEI, etc.)?
- Describe the communications plan for assuring smooth, prompt, effective communications between the offshore development facility, the U.S. development center, and the on-site staff. What tools will be utilized for effecting these channels of communication? How will time zone differences between the U.S. development center, the offshore development facility, and ETF's location affect the project?
- During user testing, will problem incidents be referred to the offshore facility for correction, or will U.S.-based programming resources be used for 'debugging'? If corrections will be referred to the offshore facility, will ETF users have to communicate directly with contractor personnel at the offshore site? If so how? If not, how will the vendor provide such communications?
- Will offshore development staff become involved in producing programming (or other) documentation for ETF? If so, please provide a representative example of documentation produced by the same offshore resources for another client so that ETF may gauge its quality.
- What steps will the vendor take to ensure adequate availability of backup development (or other, as appropriate) staff in the event the proposed offshore facility is unable to provide the proposed services for whatever reason (including force majeure)?
- What overall risk mitigation analysis and plans have been put in place to ameliorate the risks? Provide a copy or summary of such an analysis
- What quality control measures will be put in place to ensure that the functionality and/or components developed offshore will meet ETF's expectations?

C.9.2 HARDWARE, COMMODITY SOFTWARE AND VENDOR (OR THIRD-PARTY) HOSTING SERVICE

ETF's acceptance of this option would alter the requirements expressed in Section C.5 Technical Requirements of this RFP.

The following section covers the option for the vendor or vendor-proposed third party to provide hosting services for the new BAS application, including provision of the necessary hardware and commodity software. Vendors should familiarize themselves with mandatory requirements related to specification of the hardware and commodity software in Section C.5 Technical Requirements. In ETF's view, hosting includes providing everything needed for the BAS, including, but not limited to:

1. Data center facility
2. Environmentals (heating, cooling, power, UPS, generator, rack equipment, etc.)
3. Associated services (including site security)

4. Server hardware
5. Operating system
6. Data backup/recovery
7. Virtual server software (VMWare)
8. Virus checking
9. Firewall
10. Intrusion detection, VPNs and other security measures
11. Etc.

With this option, ETF will not host any of the hardware, software, security components, etc. required for the proposed solution, except for the imaging equipment required to scan images, conduct the required quality assurance on them, and integrate them into the Benefits Administration System application. With that in mind, the vendor is to provide a description of its approach and the annual costs (in Schedule 5 of the vendor's Cost Proposal) for application hosting services (including the delta in total hardware and commodity software costs for all environments, including Disaster Recovery[14]) for each year over a five-year contract commencing with cutover to the first functional rollout. (Note that should this option be invoked by ETF, the timing specified in the previous sentence supersedes the requirement that all hardware and software be installed within 120 days of contract signing – as discussed in C.5.7 of this RFP.)

Vendors should keep in mind that they themselves may provide the required hosting services through facilities they maintain or they may elect to provide such service through a subcontract with a hosting provider under a subcontract agreement. Regardless of the approach, the vendor is and will be considered the prime contractor for all services procured under this RFP regardless of whether such services appear as a mandatory requirement or a mandatory option, one of which is this request for hosting services.

The hosting service provider, whether the vendor or a subcontracted hosting service, shall be responsible for the initial installation and configuration of hardware and software satisfying the requirements set forth in Sections C.5.5 and C.5.6, Hardware and Software, respectively, as well as the installation and configuration of all hardware and software version upgrades and patches (including operating systems and other supporting software) released by the manufacturer or publisher necessary to keep the hardware and commodity software in proper working order.

In addition, in the event the hosting service provider ceases to provide hosting services, the vendor shall be responsible for the continuity of such services either by providing such services itself or subcontracting the services out to another hosting provider. Such change in the provision of these services is subject to the review and approval by ETF. In the event such an occasion arises, ETF will not bear any cost for the migration, installation, configuration of any software components, the conversion of underlying data, or testing for the success of the migration itself. All such costs will be borne solely by the vendor.

ETF maintains the option of electing to inspect the hosting facility at any time.

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[14] The delta ETF expects is the difference between the cost quoted in response to requirements expressed in Sections C.5.5 Hardware and C.5.6 Software and the cost of hardware and software in a hosted environment.

ETF may, at its own choosing, elect to move the application and all related software components and data, to an alternative hosting provider or in-house. If doing so, ETF will provide the vendor with a 90-day written notice. Responsibility rests with the vendor to notify all parties of the migration. The vendor must affirm in its technical proposal that it alone is responsible for the successful migration of the solution to a new hosting service. Such a transition to a new hosting service must be completed within a three (3) month transition period. Upon the successful conclusion of the migration, ETF will provide the vendor with an exit fee equivalent to three months of the hosting cost provided in its cost proposal for this mandatory option.

The desired hosting services will require dedicated servers, i.e., virtual servers in a physical cluster on which only BAS functionality are run, and remote connectivity (e.g., VPN) for administrative responsibilities that may arise from time to time, for the solution vendor or ETF, itself. In proposing the hosting services and formulating the suite of tools and products necessary to host the application, the vendor should refer to the performance requirements and capacities and database growth rates outlined in Sections C.5.8.1 System Sizing and Performance Requirements. ETF reserves the right to use a third-party testing service to measure and validate response times.

Specifically, the proposed hosting services must accommodate the following minimum list of requirements:

- The hosting services must house all hardware and applicable operating software for the proposed application to operate within the performance requirements outlined in Section C.5.8.1 System Sizing and Performance Requirements
- The services must include system administration responsibilities for maintaining network operating systems, database tuning/load balancing of application servers, etc.
- The service must allow for access or connectivity by the software vendor in order that the vendor may upload patches, enhancements, etc. to the BAS solution software within the production and other environments as necessary
- The hosting services must provide for multiple environments; i.e., production, testing, ad hoc query, as identified in Section C.5.2 Separate Production, Staging, Development, Test, Training, and Query Environments of this RFP
- The hosting services must include back-up and restoration processing that complete within the time window identified in Section C.5.8.5 Recoverability Requirements of this RFP
- For this option (vendor/third-party hosting), the hosting services must include provision of a hot-site (located at least 50 miles from the primary site) capable of making the application available within 48 hours of a disaster or the unavailability of the main hosting site
- Any scheduled “down-time” associated with periodic maintenance must occur within the hours defined within Section C.5.8.3 High Availability Requirements and must be made known to ETF five (5) business days prior to their occurrence – unless otherwise agreed to by ETF
- The data center used to provide the hosting services must, at a minimum, conform to Tier 3 data center standards
- The hosted applications will be subjected to a vulnerability assessment, conducted by a third party identified by ETF, on one or more occasions. Refer to Section C.5.8.8 Infrastructure and Applications Vulnerability Assessment and Penetration Testing for additional information
- The hosting service provider must be familiar with the security standards published by Wisconsin Division of Enterprise Technology available at:

  http://enterpriseit.wi.gov/docview.asp?docid=12550&locid=95

(this is the enterprise technical reference model; see subsections related to security)

- The hosting service must provide a VPN tunnel or other secure connection over ETF's existing Internet connection for both of ETF's Badger Road and Rimrock Road offices
- Provide for failover protection, through any necessary hardware and software, both at the ETF office locations and the hosting facility, e.g., redundant access paths must be put in place and maintained throughout the hosting service contract
- Other features and capabilities that would be provided or available to ETF through the hosting services
- The hosting service must provide a Service Level Agreement (SLA) that, at minimum, will meet the terms specified in Appendix E.20 Sample Service Commitments.

The hosting service provider will function as the "guardian" of the production application. The hosting provider will make available the necessary interface between all other entities, such as the users and developers and the operations staff that run the various environments. This production control will institute procedures required for successful migration of updates to the production environment and approve all production changes. The operations staff of the hosting service will be responsible for the day-to-day support operations of the production environment and other environments hosted by the firm. In addition, the hosting service will be responsible for system and database back-ups.

The vendor's recommendation of and discussion of the mechanism by which the solution will be delivered to ETF and supported after rollout of the final phase is of great interest. It will NOT be feasible for the equipment associated with the solution – other than desktop PCs, local printers, and possibly several small servers and telecommunications equipment – to be located at ETF's offices. The approach to hosting favored by ETF is based on an annual (or monthly) fee, in which the vendor provides processing services (and possibly location) in return for a fixed annual or monthly fee.

If the equipment and support staff are not located locally, the vendor must supply at least one Full Time Equivalent (FTE) support / liaison staff member to work on-site at ETF's site during the post-installation period. In order to support the operation and maintenance of the equipment, the vendor must staff and support the on-line work hours of 7:30 AM to 5:00 PM Central Time, with the ability to expand the hours of operation as needed. In addition, the vendor must be able to support nightly, week-end, month-end, and year-end unattended processing and to work within ETF's holiday schedule, NOT necessarily the vendor's holiday schedule.

In their proposals, vendors are to discuss the alternative approaches described above, setting forth the advantages and disadvantages of each. Vendors are encouraged to describe any cost savings available through one approach versus the others on the cost sheet, although a discussion of what would be cheaper than what in relative terms is permissible in the technical proposal.

Service level agreements and staffing commitments are to be specified in the technical proposal. The vendor is to provide a sample of its contract to support outsourcing, including definition of service levels, descriptions of how such levels will be measured and reported, and what penalties / compensation it is prepared to provide to ETF if the service levels are not met.

In addition, the vendor must describe the redundancies that will be supported / provided, including (but certainly not limited to)

- Redundant and/or fail over communication paths between ETF and the vendor's location
- Redundant servers and/or fail over
- Redundant, backup, and fail over power to the vendor's facility

- Disaster recovery provisions at vendor's site
- Maximum time to recover from a disaster.

If a third party ASP hosting contractor is to be used, the relationship must be described in detail and a sample Service Level Agreement (SLA) provided as part of the proposal.

In the Cost Proposal, the quoted prices must include built in equipment refresh costs at industry standard timeframes (3-5 years). The vendor technical proposal must discuss the refresh interval for all components of the hosted solution.

C.9.3 POST IMPLEMENTATION SUPPORT

ETF's acceptance of this option might alter the vendor's approach to the requirements (it will certainly expand upon them) expressed in Section C.8.3 Transition to ETF-Provided Post Go-Live IT Support of this RFP.

Concerned about the effectiveness of training and risk associated with a "cold turkey" handoff of support responsibility at the time of the final Go-Live of the BAS implementation, ETF views the availability of support during and following the end of the BAS solution warranty period as an important option of the overall solution. ETF is also sensitive to the potential significant ongoing cost of such support. ETF requests that the vendor propose, as an option, support and enhancement services to the system for a five- year period commencing with the beginning of the warranty period.

Note: Unless stated otherwise, references to "warranty" through the remainder of this section shall be interpreted by the vendor as "BAS solution warranty."

The vendor is to cost the provision of five years of post-implementation support. In the first year after acceptance, this support will occur simultaneously with the mandatory warranty support, but it is not to include any warranty work and is to be **separate and apart** from warranty support as described in Section C.8.4. The scope of the post implementation support activities includes all activities required in support of the application – i.e., maintaining and enhancing the BAS solution, providing operational support of the solution, ensuring compatibility with underlying system upgrades, installing patches, and assisting in the provision of operational support of the hardware installed to host and operate the solution.

With regard to maintenance and enhancement of the BAS solution, ETF does not envision requiring full-time, on-site application support over this five-year timeframe. It is anticipated that much of this work may be done remotely – but at the same time, there must be sufficient vendor-to-ETF knowledge transfer that at the end of the period ETF staff will be in a position to provide effective on-site support without reference to vendor staff. In addition, requirements gathering for new features requested by ETF, complex installation and configuration of new software and features, and similar efforts may require periodic on-site work by one or more of the vendor support team. Finally, ETF anticipates the need for and sees the value of periodic on-site account reviews (e.g., review of potential changes to the application, review of open task orders, review of costs and schedules, and setting of priorities).

The vendor shall describe its maintenance and enhancement strategy including receipt by the vendor of a maintenance/enhancement request from ETF and the processing of same through completion (including any necessary, resulting training of both business and technical staff) and approval by ETF (including expected elapsed times).

- Specifically, vendors are required to provide post-implementation support for the 60-month period beginning immediately after final system cutover and acceptance and ending 60 months later. There is to be a constant, uninterrupted 60-month period of full-time programmer support

beginning on the date of final cutover to and acceptance of the new environment. Note that this is not to be confused with warranty support described in Section C.8.4.1 BAS Application Warranty.

- This post-implementation support may (and is expected to) be decreased over the course of the 60-month period as ETF staff assumes more and more of the support responsibilities. ETF will determine when successful vendor support staff may be relinquished

Vendor staff provided for this post-implementation support must have the appropriate background for the area that they are supporting. Although the ideal approach to this requirement is for the vendor to provide a person who provided programming support during the implementation, it will be acceptable for the vendor to provide an alternate (e.g., a programmer who was part of the test or training teams) so long as the person assigned to the support effort is not new to the project and can adequately provide the appropriate support during this period.

With regard to operational support of the solution and hardware, ETF envisions such support being satisfied through full-time, on-site support sufficient to ensure that the BAS solution and all related equipment and supporting applications run optimally. Though ETF looks to the vendor to indicate the scope of these responsibilities and to enumerate in their proposal a representative set of same, ETF expects these responsibilities to include: database tuning, periodic diagnostics of equipment to prevent unscheduled interruptions in service, and execution of regularly scheduled backups.

The vendor shall describe its support strategy including receipt by the vendor of a support request from ETF and the processing of same through completion and approval by ETF (including expected elapsed times).

With regard to both BAS Support and Hardware Support, ETF requests the vendor provide costs (in the cost proposal) related to the orderly and complete migration of support responsibilities to ETF support personnel as well as the training required for each of the tools provided. The vendor must provide a cost for this occurring in each of the five years, because ETF may elect to take over support starting in any one of the five years (e.g., support for years one-three is provided by vendor and, at the end of year three, ETF elects to take over support). Said another way, cost the event if it were to occur in each year separately. Please refer to Section D.1.2 for information on how to prepare the cost proposal for this option.

The “Transition to ETF-provided Post Implementation Support” cost must include training on the use of the tools necessary for ETF to:

1. Maintain, enhance, and support the BAS application as well as all other components of the information architecture – e.g., imaging, workflow, Web-enablement, and
2. Maintain and administer the hardware provided through the procurement in support of the BAS solution and related peripheral applications.
3. With respect to BAS Support, training must be consistent with the requirements outlined in Section C.7.3.2 Technical Staff Training, and must include all ETF technical staff identified in the Current ETF Technical Skills matrix found in Section C.6.4.1 ETF Project Staffing, plus three server administrators and two desktop support staff.

ETF requests that training be provided on-site in Madison. However, if such training is only available through a certified trainer outside of the Madison area, <u>then the vendor will bear the cost of such trips by ETF staff. Vendors must disclose and include such costs</u>, if any, in the proposal.

The vendor will include in its proposal for this option a top-level technical staff training plan that identifies the specific topics that will be covered. This training plan must also identify the courses

that will be provided (including a brief description of each course's contents) and must include descriptions of:

- Materials/facilities to be provided by ETF
- Training materials that will be developed by/delivered by the vendor
- The number of hours required by ETF technical staff members by job category for attending classroom sessions, training laboratories, independent study, and working with vendor mentors.

Vendors shall indicate in their technical proposals the number of hours they believe are appropriate for knowledge transfer, maintenance, enhancement, and operational support (as described above) over multiple 12-month periods and quote in their cost proposals a fixed annual support fee for each of the five one-year periods, inclusive of travel and all related expenses. The vendor will also quote an hourly figure in the event additional time is required within a single 12-month period. Vendors shall list the resources or roles (e.g., Project Manager, Programmer/Analyst, Database Administrator, Network Engineer) they intend to allocate to Post Implementation Support along with the hours allocated over each of the five years for each role. This information shall be provided in a format similar to that in Table 41 below. (For a definition of the duties ETF envisions associated with each of the categories below, please see Section C.8.2 Systems Support during BAS Implementation.)

Table 41 Post Implementation Support Hours

SUPPORT CATEGORY	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5
Post Acceptance Application Support					
Resource or Role (e.g., Project Manager, Programmer/Analyst, Database Administrator).	(hours)	(hours)	(hours)	(hours)	(hours)
Resource or Role…	(hours)	(hours)	(hours)	(hours)	(hours)
Total Application Support					
Post Implementation Application Server Support					
Resource or Role (e.g., Project Manager, Programmer/Analyst, Database Administrator).	(hours)	(hours)	(hours)	(hours)	(hours)
Resource or Role…	(hours)	(hours)	(hours)	(hours)	(hours)
Total Application Server Support					
Post Implementation Operations Support					
Resource or Role (e.g., Project Manager, Programmer/Analyst, Database Administrator).	(hours)	(hours)	(hours)	(hours)	(hours)
Resource or Role…	(hours)	(hours)	(hours)	(hours)	(hours)
Total Operations Support					
Overall Total	(hours)	(hours)	(hours)	(hours)	(hours)

Vendors must include in their cost proposals the hourly rate (including all expenses) applicable to extending the Post Implementation Support beyond the five-year support period. Include in the technical proposal response to this option the conditions under which the vendor would be willing to provide the extension of services if so requested by ETF – for example, extensions must be in increments of six months or more and must be requested at least 60 days prior to the end of the current support period.

C.9.4 RETENTION OF EXISTING CONTENT MANAGEMENT REPOSITORY

ETF's acceptance of this option would alter the requirements expressed in Section C.4.7.4 Replacement of Existing Content Management Repository of this RFP.

ETF is not certain that the benefits that accrue to the BAS solution with replacement of ETF's existing Content Manager content repository with a new one are worth the cost of that replacement. For that reason, the vendor is requested to provide a discussion of the pros and cons of retaining the current repository, determine the costs associated with its integration into the new BAS, and ensure a means by which, without violating its license agreement with IBM, ETF can provide access to some of the documents stored in each customer account to the individual customer – without requiring the payment of an unreasonable per-customer license fee.

In their cost proposal, vendors should indicate to ETF the amount that would be saved through continuing to use the existing Content Manager repository rather than migrating to a new one.

C.9.5 MOBILE COMPUTING APPLICATION(S)

Under this option, the vendor is to supply a mobile interface (not an application specific to iOS, Android or Windows operating systems) suitable for use on smartphones and other mobile computing platforms. The interface must support security similar to that available through the web-based member access and provide an interface to (at a minimum) the following business processes:

- Querying for assistance
- Checking the status of one's account
- Checking the status of any pending requests
- Obtaining a benefit estimate
- Applying for:
  - Buyback
  - Disability (and any subsequent processing such as finding a registered physician, etc.)
  - Purchase of Service
  - Separation Benefit
  - Retirement
  - Adding or changing insurance coverage due to significant life event (SLE)
  - Support for annual benefit selection and open enrollment
  - Support for new hire benefit selection and enrollment.
- Requesting:
  - A change of address
  - A change of beneficiary

- Checking the status of the latest monthly payment (along with any withholding that occurred)
- Ability to respond to any requests for information received from ETF
- Ability to link to mobile mapping app to provide mapping support to get from member's current location to an advertised ETF event

C.10 OPPORTUNITIES FOR DISTINCTION

This section allows vendors to demonstrate value beyond the requirements specified in the preceding sections (Opportunities for Distinction). ETF is interested in understanding additional value the vendor can provide the state and its constituents through additional business and technology services offered by the vendor.

Proposers may provide creative enhancements or business model improvements that have not been addressed previously in this document. For each product or service proposed, the Proposer shall provide:

- A description of product or service
- High-level requirements
- Approach
- Schedule with key milestones
- Analysis of technical and business risk.

Financial details of each opportunity for distinction shall be submitted as part of Proposer's Cost Proposal (Schedule 11).

PART D VENDOR PROPOSALS

D.1 FORMAT OF VENDOR PROPOSALS

This section sets forth the format that must be followed by vendors in developing their proposals in response to this RFP. Proposals that vary from this prescribed format are subject to being judged non-compliant and withdrawn from consideration.

The vendor must understand that ETF will view the degree of compliance with this section as an indication of the degree of cooperation to be expected from the contractor in working with ETF after contract award. ETF's request in this respect is not arbitrary; rather it is designed to enable the evaluation team to compare, in as straightforward a manner as possible, the contents of all proposals. Thus, it is in the vendor's best interest to organize its proposal as described below.

The evaluation and selection of a vendor will be based on the information submitted in the proposal, vendor references, any required presentations, and responses to requests for additional information or clarification. However, the evaluation committee reserves the right to discontinue evaluation of any proposal at any time during the evaluation process, and not conduct reference checks or ask for any presentations or any additional information or clarification regarding that proposal.

Failure to respond to each of the requirements in Part C Procurement Specifications and Deliverables of this RFP may be the basis for rejecting a proposal.

Elaborate, unreasonably long or verbose proposals (e.g., expensive artwork), beyond that sufficient to present a complete and effective proposal, are not necessary or desired. Vendors are to submit separately bound and packaged Technical and Cost Proposals. No cost information is to be included in the Technical Proposal – with the single exception of Section B-1.5, Exceptions, in which it is permissible for vendors to include relative or differential cost information. Please refer to the discussion under B-1.5 Exceptions, below.

The proposals are to be prepared on standard 8½" x 11" white paper. All proposals are to be in single-column format and page-numbered from first page to last, with the permitted exception of attachments to the proposal. A Table of Contents that includes links (in the electronic version of the proposals) must be included. Foldouts containing charts, spreadsheets, and other necessary supporting documentation are permissible, but must be held to a minimum. The pages must be placed in a binder with tabs separating the major sections outlined below. Figures and tables must be numbered and referenced in the text by that number. The vendor is cautioned against numbering figures or tables in such a way as to be confused with ETF's numbering scheme in this RFP document. For example, if the final contract needs to refer to Table 31, there should be no confusion over whether that means Table 31 in this RFP or Table 31 in the proposer's response. Proposer must number figures and tables in such a way that such confusion is unlikely.

The following information must appear on the title page of each copy of both the Technical and Cost Proposal (as noted, one of each must be marked "Original"):

Wisconsin Retirement System Employee Trust Fund (ETF) Technical or Cost Proposal in Response to RFP ETC0003

for

Benefits Administration System Modernization

Federal Tax ID Number: _____ Dun and Bradstreet No.: _____

Closing date and time for submission of proposals: _____

[Name, title, address, voice telephone number and email of organization submitting proposal]

Signature _____

An individual authorized to bind the respondents to its provisions must sign proposals. The proposal must remain valid for at least one year from the proposal receipt deadline.

Vendors must provide the following number and type of submissions when submitting their proposals:

- One color original (marked as original) and nine paper copies of the Technical Proposal, including the transmittal letter and other related documentation as required by this RFP**.** (Note that if color is an important aspect of the material in the proposal, the paper copies should also be in color)
- One color original (marked as original) and nine paper copies of the Cost Proposal, both original and copies separately sealed from the Technical Proposal
- Two CDs of the Technical Proposal; in Microsoft Word and/or Excel format – one folder containing technical proposal as submitted and another folder containing technical proposal with confidential information redacted or removed and marked as "Redacted for Confidentiality" and in PDF format (refer to Section E.2.27 for provisions relating to confidential proposal material)[15]
- Two CDs of the Cost Proposal; in Microsoft Word and Excel format – one folder containing cost proposal as submitted and another folder containing cost proposal in PDF format (refer to above for provisions relating to confidential proposal material).

[15] Note that no matter what method the vendor uses to redact, ETF is not responsible for checking that the redactions match the vendor's Designation of Confidential and Proprietary Information (DOA 3027). Proposers should be aware that ETF may need to electronically send the redacted files the proposer provides to members of the public and other proposers when responding appropriately to records requests. ETF is not responsible for checking that redactions, when viewed on-screen via electronic file, cannot be thwarted. ETF is not responsible for responding to records requests via printed hard copy, even if redactions are only effective on printed hard copy. ETF may post redacted proposals on ETF's public website at http://etfextranet.it.state.wi.us/ in exactly the same file format the proposer provides, and ETF is not responsible if the redacted file the proposer provides does not adequately protect the information when the redacted file is copied and pasted, uploaded, emailed, and/or transferred via any electronic means.

Note that the Word and Excel files should have no locks, controls, or other protections or restrictions that prevent reviewers from inserting comments, revisions, etc. that would expedite reviews.

All printed copies of proposals and the electronic version provided on CDs must be clearly labeled so as to be easily identifiable with the vendor's submission. The Word and Excel files must be provided in an "unlocked" form that will allow ETF to edit, insert comments, "cut-and-paste" and annotate the documents and spreadsheets with comments and revisions during its evaluation. Finally, we point out that ETF's internal review of the electronic version of the response is greatly facilitated if the vendor's proposal is submitted as a **single** MS Word document.

ETF recognizes that vendors may wish to copy the required cost spreadsheets into their cost proposals in picture format (to ensure that bid information cannot be altered). While this approach is acceptable, the vendor must also provide the source, unprotected Excel spreadsheets as .xls (or .xlsx) files on the CDs containing the cost proposal.

All copies (paper and electronic) of a vendor's proposal must be packaged, sealed, and show the following information on the outside of the package:

- "[Proposer's Name and Address]"
- "TECHNICAL PROPOSAL" or "COST PROPOSAL"
- Title: ETC0003
- Proposal Due Date:

D.1.1 TECHNICAL PROPOSAL FORMAT

The organization and content of the vendor's Technical Proposal must conform to the outline set forth below. Section numbering of the vendor's proposal must agree with the outline. Following the outline is a description of the information that must be included in each section of the proposal.

Figure 17 Format of Technical Proposal

COVER PAGE (included in RFP as Attachment F.1 Proposal Cover Page (DOA 3261))

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- A-2 Mandatory Requirements (included in RFP as F.3 Mandatory Requirements)
- A-3 Designation of Proprietary and Confidential Information (included in RFP as F.4 Designation of Confidential and Proprietary Information (DOA 3027))
- A-4 Statement of acceptance of each of the following sets of terms and conditions: General Terms and Conditions, Standard Terms and Conditions, and Supplemental Standard Terms and Conditions for Procurement for Services (embedded in RFP as Section A.3 and Appendices E.2 and E.3

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... (Please respond to all intervening sections)
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... (Please respond to all intervening sections)
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... (Please respond to all intervening sections)
C-9 Response to Project Options
C-9.1 Savings from Offshore Development
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D-24	Resource Summary by Phase
D-25	Vendor's Annual Financial Report to Stockholders and Audited Financial Statements
D-26	Other Attachments as Appropriate (or called for in the RFP)

Specific contents to be included in each section of the vendor's proposal are discussed in detail below.

COVER PAGE

The first page of the proposal must be a completed version of the ETF-supplied RFP Response Cover Page that appears in Attachment F.1 Proposal Cover Page (DOA 3261). The vendor may supplement this page with one that contains the information indicated in Section D.1 of this RFP.

TABLE OF CONTENTS

Each page of the proposal must be numbered (with the possible exception of pre-printed material included in attachments), each section heading must appear in the proposal Table of Contents, and each section heading in the table of contents must provide hyperlink capability to the indicated page on which the section heading appears.

TRANSMITTAL LETTER

The Transmittal Letter on the vendor's official business stationary must be included and must be signed by a person authorized to legally bind the vendor. **Failure to include this signed proposal letter may result in needless delays.** The letter should include:

1. Name, signature and title of proposer's authorized representative
2. Name and address of company
3. Telephone number, fax number, and email address of representative
4. Title and RFP number: Benefits Administration System ETC0003
5. Executive Summary of the RFP Response

TAB A – REQUIRED FORMS

The forms that must appear under this tab in the vendor's RFP response are enumerated in Figure 17 Format of Technical Proposal.

TAB B – VENDOR INFORMATION

B-1.1 VENDOR CERTIFICATIONS AND AFFIRMATIONS

In this section, the vendor must include the following statements of affirmation:

- A statement regarding the vendor's legal structure (e.g., a LLC, a corporation), Federal tax identification number, and principal place of business
- A list of the people who prepared the vendor's proposal, including their titles
- The name, phone number, and fax number of a contact person who has authority to answer questions regarding the vendor's proposal
- A list of all subcontractors, if any, that the vendor will use on the project if the vendor is selected to do the work – for each proposed subcontractor, the vendor must include (in Attachment 13 of the technical proposal) a letter from the subcontractor, signed by someone authorized to legally bind the subcontractor, with the following information included in the letter:
  - The subcontractor's legal status, tax identification number, and principal place of business address
  - The name and phone number of someone who is authorized to legally bind the subcontractor to contractual obligations
  - A description of the work the subcontractor will do
  - A commitment to do the work if the vendor is selected
  - A statement that the subcontractor has read and understood the RFP and will comply with the requirements of the RFP
- A statement indicating the proposed Project Manager is an employee of the prime contractor
- A statement affirming the vendor's commitment to develop a full set of all of the rules, regulations, procedures, and practices that need to be accommodated in the new solution (refer to Section C.4.1 Vendor Responsibility for Detailed Requirements Definition for additional information)
- Affirmation of the vendor's responsibility for the life of the contract for all contractual activities, products, and deliverables offered in the proposal whether or not that contractor directly performs or provides them. This includes providing an overall project plan and for each functional rollout phase, the detailed requirements definition, all necessary hardware and software components, including fully integrated workflow and imaging capabilities, a BAS solution, system integration services, enablement of all interfaces described in this RFP, test preparation and execution (including training and assisting ETF with its testing responsibilities) of all elements of the vendor's solution (not just customized elements), data conversion, training for users, employers, and IT staff, documentation, process change recommendations, organizational recommendations, and implementation of any other proposed technologies, as well as first-line problem resolution.
- Affirmation that the vendor's organization is the prime contractor and the primary point of contact with regard to contractual matters. The vendor must confirm that should any third party provider go out of business or otherwise become unable to fulfill its contractual obligations to ETF with respect to this procurement, then the vendor (prime contractor) will guarantee delivery of the same or equivalent products and services at the contractually agreed upon price.
- Affirmation that the vendor has reviewed the "Current 'As Is' Business Functionality," as provided in the RFP.

- Affirmation that all requirements expressed in this RFP must be met by the solution implemented by the vendor unless an explicit written agreement to delete one or more of the RFP's provisions is signed by both ETF and the vendor (see Section C.6.3.7 Change Orders, Change Control, and Reporting).
- For the period of time starting seven (7) months prior to the publishing of the RFP and up until the award of a resulting contact, identification of any contact that the vendor, a lobbyist, or any other third party which has been retained by the vendor in any manner has had with ETF staff, ETF Board members, Wisconsin legislators, the office of the Governor of Wisconsin, or legislative or gubernatorial staff related to the procurement. In addition describe the nature of the contact, the dates, and the substance thereof. Failure to do so accurately may be grounds for rejection of your proposal and/or cancellation of any subsequent contract.

The vendor must also include the following nine certifications:

1. Certification as to whether the vendor has ever had a contract terminated for default or cause. If so, the vendor must submit full details, including the other party's name, address, and telephone number.
2. Certification as to whether the vendor has ever been assessed any penalties in excess of five thousand dollars ($5,000), including liquidated damages, under any of its existing or past contracts with any organization (including any governmental entity). If so, the vendor must provide complete details, including the name of the other organization, the reason for the penalty, and the penalty amount for each incident.
3. Certification as to whether a client has ever demanded payment of a performance bond or a bid bond of the vendor. If so, provide the name of the client, client contact information and an explanation of the circumstances.
4. Certification as to whether the vendor has ever been, or is currently, the subject of any governmental action limiting the right of the vendor to do business with that entity or any other governmental entity.
5. Certification as to whether trading in the stock of the offering company has ever been suspended. If so, provide the date(s) and explanation(s).
6. Certification as to whether the vendor, any officer of the vendor, or any owner of a twenty percent (20%) interest or greater in the vendor has filed for bankruptcy, reorganization, a debt arrangement, moratorium, or any proceeding under any bankruptcy or insolvency law, or any dissolution or liquidation proceeding.
7. Certification as to whether the vendor, any officer of the vendor, or any owner with a twenty percent (20%) interest or greater in the vendor has been convicted of a felony or is currently under indictment on any felony charge.
8. Certification as to whether the vendor has previously brought suit against the issuer of an RFP, the contract for which the vendor was or was not subsequently awarded – and if the answer is in the affirmative, the particulars of that (those) suits.
9. Certification as to whether the vendor is now or has been within the past ten years engaged in a lawsuit with a public pension system, a subcontractor, or a supplier of software or services related to the provision of a public pension administration solution - and if the answer is in the affirmative, the particulars of that (those) suit(s).

If the answer to any of the last eight (8) certification items above is affirmative, the vendor must provide complete details about the matter. An affirmative answer to any of these items will not

automatically disqualify a vendor from consideration. However, at the sole discretion of the evaluation committee, such an answer and a review of the background details may result in a rejection of the vendor's proposal. The committee will make this decision based on its determination of the seriousness of the matter, the matter's possible impact on the vendor's performance on this project, and the best interests of the State.

B-1.2 STATEMENT OF UNDERSTANDING

In this section, the vendor must summarize its understanding of the requirements set forth in the RFP. The vendor may also reference, in general terms, projects it has successfully completed that met requirements similar to those of ETF.

B-1.3 DISCLOSURE OF REQUIREMENTS NOT MET DUE TO BUDGETARY CONSTRAINTS

In this section of the proposal, the vendor must state any and all solution requirements as described in Part C Procurement Specifications and Deliverables that will not be met due to the budgetary constraints imposed by Section A.3.6. As noted, ETF believes that the budget is sufficient to cover all of the requirements in this RFP; however, the vendor may decide that ETF has overlooked one or more aspects of one or more requirements that necessitates the deletion of such a requirement(s) from the solution (and therefore from the RTM). Note that there is to be no mention of actual costs in the Technical Proposal and that the suggested costs of such omitted items should be presented in Schedule 10 of the vendor's Cost Proposal in such a way that the cost of meeting any requirement listed in this section of the response is clear.

B-1.4 ASSUMPTIONS

In this section, the vendor must identify and discuss all assumptions it has made in preparing its technical and cost proposals. (Since Cost Proposals will not be opened until after the site visits, an assumption stated only in the Cost Proposal may not be factored into ETF's evaluation process until too late in the evaluation process.) Further, the vendor must state that there are no further assumptions related to meeting requirements of the RFP other than those enumerated in this section of the proposal.

Please include any assumptions you have made with regard to facilities to be provided by ETF for office space and meeting / training rooms.

Any assumptions mentioned elsewhere in the vendor's proposal will not be valid unless they are also listed in this section.

In setting forth their assumptions, vendors should note the difference between "assumptions" and "exceptions" and take care that no **exceptions** to the RFP's requirements are included. Valid "assumptions" are suppositions made by the vendor about issues on which the RFP is silent. "Exceptions" are suppositions made by the vendor that contradict, or fail to conform with, one or more of the requirements stated in the RFP. Any items that are actually exceptions to the RFP's requirements, but misrepresented by the vendor as assumptions in Section B-1.4 of the proposal, will be treated as exceptions by ETF – and will, due to the misrepresentation, have a greater negative affect on the vendor's technical score than would be the case had the item been correctly classified by the vendor as an exception. (See B-1.5 Exceptions below for a discussion of how to set forth exceptions.)

B-1.5 EXCEPTIONS

In this section of the proposal, the vendor must affirm that it has read and understands the RFP, any RFP amendments issued, and the questions and answers provided during the vendors conference.

The vendor must state in this section of the technical proposal any and all exceptions it takes with the technical / functional requirements (with the sole exception of software maintenance and warranty, see B-1.6 Warranty Limitations, below) set forth in the RFP and/or with any terms and conditions contained in the RFP relating to the ensuing contract. Only those exceptions identified in this single section of the proposal will be considered by ETF; any others "distributed" across the proposal will be superseded by the provisions of this RFP and will not be considered or honored by ETF. (Since Cost Proposals will not be opened until after the site visits, a cost-related exception stated only in the Cost Proposal may not be factored into ETF's evaluation process until too late in the review process.)

For each exception listed in Section B-1.5 of the proposal, the vendor is required to propose at least one alternative that would still be acceptable to the vendor, as a potential vendor, and that the vendor reasonably believes will be acceptable to ETF. In other words, the vendor is required to be creative in addressing all exceptions by setting forth two alternative versions of each one (alternative A and B) in the hope that the vendor and ETF will more quickly arrive at a mutually acceptable compromise. The alternative versions of each vendor exception may take various forms – again, the vendor is being encouraged to apply creativity in order to accommodate legitimate vendor reservations in a fashion that will not lead ETF to score the response low due to onerous exceptions.

B-1.6 WARRANTY LIMITATIONS

In this section of the proposal, the vendor must state any and all limitations and constraints with respect to software maintenance and warranty. They must be explained in terms of risk, change control, and cost implication. Only those limitations and constraints identified in this single section of the proposal will be considered by ETF; any others not included in the single, appropriately labeled section will not be considered or honored by ETF.

B-2.0 VENDOR'S QUALIFICATIONS

This section shall include details on the experience of the vendor and vendor's recent clients in the multi-employer, defined benefit, public pension administration area.

B-2.1 CORPORATE BACKGROUND

This is an introduction to the vendor's company: its history, scope of operations, organization, size, and any other relevant information about the company that the vendor desires to include.

In this section, the vendor must provide basic information about its organization, including the following:

- The name of the vendor and the location of its principal place of business and all other offices, including the location of the office which will perform work on behalf of ETF
- The names, titles and length of tenure of the top five officers of the company (or its subsidiary or operating division responsible for this project). For any whose time in the position is less than a year, provide the name of his or her predecessor and the reason for the change in position
- Any change in the ownership status of the company in the past three years (or any forthcoming change)
- The average number of employees over the past five years, the average number of full time employees, the average number of contract employees, and the average number of total employees (state explicitly the number of professional employees)
- Number of years in business

- Brief history of company, products, and services
- Company and product visions; must demonstrate commitment to product life and enhancement for at least eight years
- Industry innovations or best practices
- Number, nature and name of subsidiaries and operating divisions
- Where incorporated or otherwise legally established
- Representative public pension administration solution client list.

The same information must be provided for all subcontractors or other third party providers of products or services.

In addition, for each subcontractor or other third party, the vendor's proposal must include:

- A description of all work to be subcontracted to and/or products to be provided by third parties.
- Descriptive information relating to the nature and duration of the previous relationship of all subcontractors and/or third parties with the prime contractor.
- Explanation of any existing contractual relationships between the prime and subcontractors, or among subcontractors.

Failure to identify subcontractors may be grounds for rejection of the proposal or, after award, cancellation of the contract.

B-2.2 FINANCIAL INFORMATION

This section of the proposal must contain vendor's current and four previous years' audited financial statements, including consolidated balance sheets and income statements (statement of profit and loss). (The actual statements are to be part of the material submitted under Attachment D-25 to the vendor's RFP response.) Failure to provide this information may be grounds for rejecting vendor's proposal. (The vendor's annual report to shareholders should be included as an attachment – see below.) The vendor must describe the trends of the last five years in revenues, employees, and profitability. If the vendor is a subsidiary of a larger corporation, financial information specific to the vendor is required. An overall corporate information package may also be submitted.

Identify any legal actions, lawsuits, arbitration or formal protests related to public employee retirement systems projects in which the vendor is currently involved as a defendant at the time the proposal is submitted. Additionally, identify any other such actions in which the vendor has been involved during the past five (5) years.

Any delisting of vendor's stock must be disclosed and described.

Any changes in corporate ownership, changes in CEO, CFO, or COO in the past 5 years or projected in the next 6 months must be described.

The vendor must inform ETF if any site used as a reference has a financial relationship with the vendor whereby the client may receive <u>any</u> sort of compensation, including but not limited to reduction in fees, commission, and/or credits based on references leading to sales of vendor's software, hardware, other products, or services.

The same financial information described above must be provided for any subcontractors and/or third parties proposed to participate in the project.

The vendor must summarize the percentage of its organization's current revenue that is derived from retirement system solution implementations (and, as a separate calculation, the percentage of revenue derived from retirement system consulting, actuarial engagements, and the like). Similar information must be provided for each of the previous two (2) years.

B-2.3 GENERAL PROJECT EXPERIENCE

The details of vendor's general experience relevant to the project shall include a summary of the vendor's experience with all of the clients listed in the previous section. This presentation need not go into the depth of discussion provided for the three references required in Tab C-1.1. Instead, it gives the vendor the opportunity to provide an overview of their entire body of work, relating the corporate vision and history with the client base.

B-2.4 PRESENTATIONS AND PRODUCT DEMONSTRATIONS

In this section, affirm the vendor's commitment to provide oral presentations and/or product demonstrations (led by the vendor-proposed Project Manager) at ETF's offices, if so requested by ETF, in response to Section A.2.13 of the RFP.

TAB C VENDOR RESPONSE TO PART C – PROCUREMENT SPECIFICATIONS AND DELIVERABLES

TAB C of the proposal will contain the vendor's response to Part C Procurement Specifications and Deliverables, starting with Section C.1 and continuing through Section C.9.5. It is to include all of the sections of Part C of the RFP, numbered identically. Each section of TAB C of the proposal will contain a copy of the ETF requirement taken directly from the RFP (and shaded so that it is distinguishable from the vendor response) followed by a complete description of the vendor response to the requirement. As an example, we provide the text in Figure 18 below.

Figure 18 Example of Possible Response Format

C.4.7.2 CONSISTENT USE OF UNIQUE MEMBER ID

ETF requires that the new BAS be based on the use of a Unique Member ID, rather than the member's Social Security Number. Such a change requires at least the following actions:

- Determination of the format of the Unique Member ID including consideration of topics such as:
  - ☐ Number of characters
  - ☐ Use of alpha and numeric characters
  - ☐ One-time creation, conversion and/or migration
- Provision of a field in the member record to store the Unique Member ID
- Ensuring all correspondence will use the Unique Member ID rather than the SSN or terminal four digits of the SSN
- Assigning the new member ID to each imaged record and ensuring that images are retrieved using the new Unique Member ID rather than the SSN
- Assistance in planning of an education communication and roll-out campaign to alert members to the use of their new Unique Member ID rather than the SSN. (ETF will conduct the actual campaign.)

- Member searches that continue to support use of SSN as well as the new Unique Member ID since members may not always have their Unique Member ID at hand when communicating with ETF

In their response, vendors are required to provide a discussion of the above topics and others that arise as a result of the indicated change. Of particular interest to ETF is any experience the vendor may have with similar such migrations in other public retirement agencies, including issues that arose, etc.

FIRM ABC RESPONSE:

Firm ABC has extensive experience with retro-fitting the consistent use of a Unique Member ID …

TAB D ATTACHMENTS

ATTACHMENT D-1 LIST AND SPECIFICATIONS OF REQUIRED HARDWARE

As required in Section C.5.5, the vendor must provide a complete list, complete with specifications and configurations, of all hardware components required to support the proposed solution.

ATTACHMENT D-2 LIST OF REQUIRED COMMODITY SOFTWARE

As required in Section C.5.6, the vendor must include in their response a complete list of all commodity software that will be required to support the proposed solution.

ATTACHMENT D-3 DATA CENTER SPECIFICATIONS

This attachment must set forth any required capabilities that must be matched by either ETF's existing data center or another location of the hardware that is required to support the vendor's proposed solution, both the BAS and all options (including but not limited to physical floor space, air conditioning load, power requirements, fire suppression, smoke, water, and heat sensors).

ATTACHMENT D-4 COMPREHENSIVE LIST OF ALL DOCUMENTATION TO BE DELIVERED

This list will itemize all of the documentation that the proposer intends to deliver during the course of the project (e.g. work process manuals, on-line help facilities, general system administration documentation, general system configuration documentation, system maintenance and operations documentation, training materials, employer education materials, etc. The proposer shall ensure that the list includes any electronic-only formatted documentation such as on-line contextual help, etc.

ATTACHMENT D-5 SAMPLES OF APPLICATION DOCUMENTATION

Attach samples of end-user and technical documentation as referenced in (but not limited to) Sections C.5.6.2 and C.7.2.

ATTACHMENT D-6 MENU AND SCREEN SNAPSHOTS

Attach samples / "snapshots" of menus and screens from vendor's implementation most similar to ETF's as referenced in (but not limited to) Section C.5.6.2.

ATTACHMENT D-7 HIGH LEVEL WORK PLAN (WITH AND WITHOUT OPTIONS)

Attach an initial high-level project work plan as specified in Section C.6.1.7.1 of the RFP.

ATTACHMENT D-8 COMMUNICATIONS PLAN – TABLE OF CONTENTS

Attach a Table of Contents of the Communications Plan document as specified in Section C.6.2.1 of the RFP.

ATTACHMENT D-9 CONCEPT OF OPERATIONS SAMPLE DOCUMENT

Attach a sample Concept of Operations document as specified in Section C.6.2.2 of the RFP.

ATTACHMENT D-10 DEVELOPMENT METHODOLOGY OVERVIEW

Attach a Table of Contents for the Development Methodology Overview (DMO) document as well as samples of documents and other deliverables referenced in the DMO as specified in Section C.6.2.3 of the RFP.

ATTACHMENT D-11 SAMPLES OF PREVIOUSLY USED STATUS REPORTS

Attach samples of previously used (weekly and monthly) status reports as specified in Section C.6.3.3 of the RFP.

ATTACHMENT D-12 FORESEEN RISKS

A list of the top twenty risks, an assessment of the probability of occurrence, their impact and the steps to be taken to reduce, avoid or mitigate the risks as specified in Section C.6.3.9 of the RFP.

ATTACHMENT D-13 SAMPLE DATA CONVERSION PLAN

A sample of a data conversion plan as specified in Section C.7.1.2.1 of the RFP.

ATTACHMENT D-14 PRELIMINARY PROJECT STAFFING PLAN

The inclusion of this plan is specified in Section C.6.4.2 of the RFP.

ATTACHMENT D-15 STAFF RESUMES

These resumes, each prefaced with a copy of the form appearing in Attachment F.6 Vendor Staff Resume Form are specified in Section C.6.4 Project Staffing

ATTACHMENT D-16 HIGH LEVEL TRAINING PLAN

The high-level Training Plan provided here will include Sections on each aspect of training to be delivered to ETF as specified in Sections C.7.3.1, C.7.3.2, C.7.3.3, and C.7.3.4 of the RFP.

ATTACHMENT D-17 SAMPLE TEST PLAN AND TEST MATERIALS

Section C.7.4 of the RFP calls for the inclusion of a sample test plan and associated test materials to be included in this attachment.

ATTACHMENT D-18 HIGH-LEVEL TECHNICAL TRAINING PLAN FOR TRANSITIONING SUPPORT

As specified in Section C.7.3.2 of the RFP, include a high-level technical training plan that covers the training of ETF technical staff. This plan shall also address in detail just how the proposer plans to ensure that ETF staff have attained the necessary knowledge.

ATTACHMENT D-19 LIST OF STANDARD REPORTS

List all standard reports included in the proposed solution, classified as management, operational, or financial per E.4.2.3.

ATTACHMENT D-20 REPORT SAMPLES

Provide actual samples of reports included in the proposed solution per E.4.2.3. Of particular interest is a sample of the member's annual statement and calculation worksheet produced by the proposed system. Be sure to include a sample of a standard audit trail history report.

ATTACHMENT D-21 PROPOSED SYSTEM LICENSE AGREEMENT

The proposer must include a copy of the proposed system license agreement (if any).

ATTACHMENT D-22 SUBCONTRACTOR LETTERS OF COMMITMENT

The proposer must include a letter from each subcontractor, signed by someone authorized to legally bind the subcontractor, and providing the material requested in Section A.2.26 Single Source of Responsibility of the RFP.

ATTACHMENT D-23 SUBCONTRACTOR AGREEMENTS

Copies of all subcontractor agreements as per Section A.2.26.

ATTACHMENT D-24 RESOURCE SUMMARY BY PHASE

Proposers must include in the cost proposal a summary, by staff position, of the number of hours, by phase for all contractor support services included in the proposal.

ATTACHMENT D-25 VENDOR'S ANNUAL FINANCIAL REPORT TO STOCKHOLDERS AND AUDITED FINANCIAL STATEMENTS

Vendors must provide the indicated financial information to assist ETF's evaluation of the vendor's financial position

D.1.2 COST PROPOSAL FORMAT

The organization and content of the vendor's Cost Proposal must conform to the outline set forth below. Section numbering of the vendor's proposal must agree with the outline. Following the outline is a description of the information that must be included in each section of the proposal.

Figure 19 Format of Cost Proposal

COVER PAGE
TABLE OF CONTENTS
TRANSMITTAL LETTER

TAB A GENERAL INFORMATION

- A-1 Vendor Information
  - A-1.1 Any Financial Disclosures Associated with the Vendor Certifications and Affirmations in the Vendor's Technical Proposal
  - A-1.2 Any Financial Discussion Associated with the Statement of Understanding in the Vendor's Technical Proposal
  - A-1.3 Financial Discussion Associated with the Disclosure of Requirements not Met Due to Budgetary Constraints
  - A-1.4 Financial Assumptions[16]
  - A-1.5 Financial Exceptions

TAB B COST INFORMATION

- B-1 Any general discussion the vendor feels is essential for the cost proposal or required by the RFP (including a fully completed Table 4 Proposed Payment Schedule)
- B-2 Reference to the Cost Spreadsheet that must also be completed and submitted
  - ETF Bid Summary
  - Schedule 1 – Hardware
  - Schedule 2E – ETF-Supplied Commodity Software
  - Schedule 2V – Vendor-Supplied Commodity Software
  - Schedule 3 – Mandatory Project Elements
  - Schedule 4 – Option 1 – Savings from Offshore Development
  - Schedule 5 – Option 2 – Vendor or Third-Party Hosting
  - Schedule 6 – Option 3 – Post Implementation Support
  - Schedule 7 – Option 4 – Retention of Content Manager
  - Schedule 8 – Option 5 – Mobile Computing Application
  - Schedule 9 – Cost Estimate by Project Phase
  - Schedule 10 – Cost for Requirements Dropped due to Budget Limitation
  - Schedule 11 – Cost of Suggested Opportunities for Distinction

The cost proposal shall identify the costs of each phase, such that the total project cost will be the total of Phases 1 - 3 (as defined in Section C.6.1.6 on Project Phasing) plus all of the functional rollout phases to be defined by the vendor (Phase 4) plus support costs during the warranty period (Phase 5). It is recognized that post-proposal negotiation with ETF and initial efforts by the vendor may result in some modifications to the by-phase costing contained in the proposal. The total cost of all phases must be consistent with the details of each phase, and must be clearly discernible (see the cost spreadsheets which follow).

[16] Note that ETF will open the Cost Proposals only after the completion of the evaluation of the Technical Proposals. Therefore, any Assumption or Exception presented in the Cost Proposal must be reflected (without any cost information) in the appropriate section (B-1.4 or B-1.5) of the Technical Proposal

Adherence to and consistency with the work plan are considered critical acceptance criteria for any phase.

The vendor should bear in mind the specific terms and conditions presented in Section D when preparing its cost schedules. In addition, ETF provides the following reminders:

- Vendors must include in the cost proposal a summary, by staff position, of the number of hours and the hourly rate for all contractor support services included in the proposal.
- The vendor must include its "D-U-N-S®" (Dun and Bradstreet) number on the cover page of the proposal.
- Vendor's cost information will be evaluated on the basis of its consistency with the information provided in the vendor's technical proposal. All calculations in vendor's cost schedules will be verified for correctness.
- Although the lowest overall price may not necessarily be the primary determining factor for award, ETF shall make every effort to substantiate prices for those products and services the vendor will supply to ensure that those prices are considered fair and reasonable.
- Any proposal that does not meet the requirements outlined in Section C.1 and in the points above, or for which a fixed-dollar proposal amount cannot be precisely determined may be considered a non-responsive proposal and may be rejected by ETF.

Although it is understood that many project deliverables will be submitted to ETF by the selected vendor, only 14[17] payments will be made under the contract to be awarded. Each payment will be tied to one of the **14 contractual deliverable payment points** as defined by ETF in Table 4 Proposed Payment Schedule. Invoices for the 14 contractual deliverables may be rendered only after each deliverable has been completed and formally accepted by ETF.

For terms relating to invoicing and payments, please refer to Section A.3.7 Invoicing, Payments, Holdbacks, and Tracking Thereof.

Schedules for presenting the vendor's cost bid are provided on the following pages. Vendors should add line items to the cost schedules as necessary to include all project costs and suitable breakdowns. The Excel spreadsheets are provided as a single Excel workbook at the extranet site on which the RFP is posted. All subtotals and totals will be computed automatically.

Following is a list of the cost schedules that must be completed and a description of the information to be provided in each:

ETF BID SUMMARY

On this worksheet, fill in the vendor name. All other entries will be automatically populated based on the vendor entries in Schedules 1 through 9. The cell highlighted in dark red in the enclosed partial spreadsheet (Figure 20 Partial View of ETF Bid Summaryrow: TOTAL – Functional) is the cost amount that will be used as the cost basis of award (see Table 3 Proposal Evaluation Criteria).

[17] Depending on the number of functional rollouts this number may increase or decrease.

Figure 20 Partial View of ETF Bid Summary

Wisconsin Department of Employee Trust Funds Benefit Administration System RFP ETC0003

Vendor's Fixed Price Cost Proposal

Vendor: _____

Project Element	Year 1	Year 2	Year 3	Warranty Period	Out Year (Contract Years 5-13) Period	Totals
Functional Project Elements						
Hardware						
ETF-Supplied Commodity Software						
Vendor-Supplied Commodity Software	$0.00					$0.00
Services	$0.00	$0.00	$0.00	$0.00		$0.00
LOB Application License Fee	$0.00	$0.00	$0.00	$0.00		$0.00
LOB Application Source Code (WI specific)	$0.00	$0.00	$0.00	$0.00		$0.00
TOTAL - Functional	**$0.00**	**$0.00**	**$0.00**	**$0.00**	**$0.00**	**$0.00**

SCHEDULE 1 – HARDWARE COSTS FOR MANDATORY PROJECT ELEMENTS

Enter all hardware components required to effect the mandatory portion of the proposed solution. Distinguish components that already exist at ETF versus upgrades required to existing equipment versus new components. Include servers, hubs, routers, workstations (desktop PCs), uninterruptible power supplies, cables, connectors, labels, equipment racks, and any other hardware components required. For each required item, provide the manufacturer, model, a description, the quantity, and the unit cost. Cost extensions and totals will be computed automatically. Since ETF will be supplying these items, the cost of the hardware does not carry forward into the ETF Bid Summary.

SCHEDULE 2E – ETF-SUPPLIED COMMODITY SOFTWARE COSTS FOR MANDATORY PROJECT ELEMENTS

Enter all commodity software products required to effect the mandatory portion of the proposed solution that will be supplied by ETF (based on the information provided in Table 33 Hardware and Software Purchase and Installation/Configuration Responsibilities) versus upgrades required to existing software versus new software products. Include all required products such as operating systems, network software, software tools, and office suite software. For each required item, provide the manufacturer, model, a description, the number of copies required, and the unit cost. Cost extensions and totals will be computed automatically. Since ETF will be supplying these items, the cost of the hardware does not carry forward into the ETF Bid Summary.

SCHEDULE 2V – VENDOR-SUPPLIED COMMODITY SOFTWARE COSTS FOR MANDATORY PROJECT ELEMENTS

Enter all commodity software products required to effect the mandatory portion of the proposed solution that will be supplied by the vendor (based on their omission from the information provided in Table 33 Hardware and Software Purchase and Installation/Configuration Responsibilities). Include all required products such as database management software and software tools. For each required item, provide the manufacturer, model, a description, the number of copies required, and the unit cost. Cost extensions and totals will be computed automatically.

SCHEDULE 3 – MANDATORY PROJECT ELEMENTS

This schedule consists primarily of service related costs to implement the mandatory portion of the proposed solution. For each area of service section (e.g., Requirements Analysis, Software Modifications Development), list the applicable staff positions, number of hours, and hourly rates. Hourly rates must be fully loaded to capture all direct and overhead expenses, travel, per diem, and

any other travel-related expenses. ETF's expectation is that the project can be completed in three years from contract execution. (If the vendor believes that a longer schedule is indicated, the vendor should expand this and the other cost schedules appropriately.)

For most service categories, therefore, it is expected that hours will be entered only for years 1 through 3, and no entries will be made in the columns designated "12 Mo Warranty Period." The only exception is the *BAS Application Software Warranty* section, for which the only entries should be in the "12 Mo Warranty Period" columns.

When filling in the Training section of the spreadsheet, be sure to include the cost for ETF IT staff travel if any IT training will be conducted outside the Madison area (see Section C.7.3.2.1). This is line 42 in the original form of the cost spreadsheet.

At the bottom of the schedule, enter the following incremental costs where indicated:

1. Hourly rate for customization of scripts (Section C.5.7 Installation and Configuration) or other custom work

SCHEDULE 4 – OPTION 1

This schedule presents the cost savings attained by the vendor (and passed on to ETF) should ETF decide to accept the Offshore Development option. Since ETF expects the total to be a net savings, we have chosen to multiply the values by -1 when carrying them into the Bid Summary page, i.e., if the total savings is indicated as $23.48 in year 1 on Schedule 4, it will show up as ($23.48) in the appropriate cell in the Bid Summary. However, should a vendor have no offshore development capability, there would obviously be no savings that accrue to either the vendor or ETF.

The format of the data required for this Schedule is similar to that required of Schedule 3.

SCHEDULE 5 – OPTION 2

This schedule provides the vendor with an opportunity to present the costs associated with hosting the solution at a site other than ETF (or DET). The schedule is set up to allow hosting through each phase of the project, including the warranty, followed by the three years between the end of the warranty and the initial period of the contract, followed by two, three-year renewal periods.

SCHEDULE 6 – OPTION 3

This schedule provides the vendor with the location to quote post implementation support. Note that ETF assumes that there may be occasion for post-implementation support simultaneously with the warranty period and subsequently through the initial contract period and two, three-year renewals.

SCHEDULE 7 – OPTION 4

This schedule presents the cost (or cost savings) accruable to ETF should the agency decide (based on the vendor estimate and rationalization) to keep the existing Content Management product instead of replacing it and porting all existing images from the current product to the one recommended by the vendor.

The format of the data required for this Schedule is similar to that required of Schedule 3.

SCHEDULE 8 – OPTION 5

This schedule presents the costs of implementing a mobile computing application as specified in Section C.9.5. The format of the data required for this Schedule is similar to that required of Schedule 3.

SCHEDULE 9 – COST ESTIMATE BY PROJECT PHASE

Enter cost figures for the project phases assuming mandatory project elements only. The first three preliminary phases have been defined in the RFP. Vendors should add the functional rollout phases they propose and enter costs accordingly. Please note that the total of Schedule 9 should be equal to the total of Schedule 1.

SCHEDULE 10 – COST OF REQUIREMENTS DROPPED DUE TO BUDGETARY LIMITATIONS

This schedule provides the vendor with a location to list the costs associated with the development of those requirements that the vendor decided to drop from the project in order to meet the budgetary amount specified in Section A.3.6. These costs are not carried forward into the Bid Summary.

SCHEDULE 11 – COST OF SUGGESTED OPPORTUNITIES FOR DISTINCTION

This schedule provides the vendor with a location to present the cost associated with any of the vendor-proposed opportunities for distinction that are a departure from the requirements that are listed in the RFP. These costs are not carried forward into the Bid Summary.

The cost proposal worksheets are presented in picture format on the following pages for information purposes only. Vendors must use the accompanying Excel workbook for compiling and submitting their bids.

Exhibit 1 Bid Summary

Wisconsin Department of Employee Trust Funds Benefit Administration System RFP ETC0003

Vendor's Fixed Price Cost Proposal

Vendor: _____

Project Element	Year 1	Year 2	Year 3	Warranty Period	Out Year (Contract Years 5-13) Period	Totals
Functional Project Elements						
Hardware						
ETF-Supplied Commodity Software						
Vendor-Supplied Commodity Software	$0.00					$0.00
Services	$0.00	$0.00	$0.00	$0.00		$0.00
LOB Application License Fee	$0.00	$0.00	$0.00	$0.00		$0.00
LOB Application Source Code (WI specific)	$0.00	$0.00	$0.00	$0.00		$0.00
TOTAL - Functional	**$0.00**	**$0.00**	**$0.00**	**$0.00**	**$0.00**	**$0.00**
Optional Project Elements (through implementation and warranty period)						
Option 1 – Savings from Offshore Development	$0.00	$0.00	$0.00	$0.00		$0.00
Option 2 – Vendor (or Third Party) Hosting	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Option 3 – Post Implementation Support	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Option 4 – Retention of Existing Content Mgmt Repository	$0.00	$0.00	$0.00	$0.00		$0.00
Option 5 – Mobile Computing Applications	$0.00	$0.00	$0.00	$0.00		$0.00
						$0.00
TOTAL – Options	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
GRAND TOTAL - FUNCTIONAL + OPTIONS	**$0.00**	**$0.00**	**$0.00**	**$0.00**	**$0.00**	**$0.00**
Incremental Costs						
Miscellaneous hourly rate (see Section C.5.7).						$0.00
TBS						$0.00
TBS						$0.00
TBS						$0.00
TBS						$0.00
TBS						$0.00
TBS						$0.00
TBS						$0.00
TBS						$0.00
TBS						$0.00

Exhibit 2 Cost Schedule 1 – Hardware Costs

Wisconsin Department of Employee Trust Funds - Schedule 1
Hardware Costs for Functional Project Elements
Vendor's Firm Fixed-Price Cost Proposal

(The vendor should replicate this table as necessary to account for all components.)

1	2	3	4	5	6	7
ITEM NO	QTY	MANUFACTURER	MODEL	SPECIFICATIONS	UNIT COST	TOTAL
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
Total (does not carry to Bid Summary Sheet)						**$0.00**

#	DESCRIPTION
1	Sequential item number
2	Quantity - how many are required
3	Who the manufacturer is
4	Specific model number
5	Item description
6	Cost of 1 unit (including all ancillary charges for freight, insurance while in transit, etc.)

Exhibit 3 Cost Schedule 2E – ETF-Supplied Commodity Software Costs

Wisconsin Department of Employee Trust Funds - Schedule 2E
ETF-Supplied Commodity Software Costs for Functional Project Elements
Vendor's Firm Fixed-Price Cost Proposal

(The vendor should replicate this table as necessary to account for all components.)

1	2	3	4	5	6	7
ITEM NO	# OF COPIES	MANUFACTURER	MODEL	DESCRIPTION	UNIT COST	TOTAL
						$0.00
						$0.00
						$0.00

Exhibit 4 Cost Schedule 2V – Vendor-Supplied Commodity Software Costs

Wisconsin Department of Employee Trust Funds - Schedule 2V
Vendor-Supplied Commodity Software Costs for Functional Project Elements
Vendor's Firm Fixed-Price Cost Proposal

(The vendor should replicate this table as necessary to account for all components.)

1	2	3	4	5	6	7
ITEM NO	# OF COPIES	MANUFACTURER	MODEL	DESCRIPTION	UNIT COST	TOTAL
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
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						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
Total						**$0.00**

#	DESCRIPTION
1	Sequential item number
2	# of copies / licenses required
3	Who the manufacturer is
4	Specific model number
5	Item description
6	Estimated cost of 1 copy / license (including all ancillary charges for freight, insurance while in transit,

Exhibit 5 Cost Schedule 3 – Service Related and Miscellaneous Costs (Mandatory)

Wisconsin Department of Employee Trust Funds - Schedule 3
Vendor's Firm Fixed Price Cost Proposal for Functional Project Elements

Service Related and Miscellaneous Costs and Fees

NOTE: All hourly rates quoted must be fully "loaded" to capture all direct and overhead expenses, travel, per diem, and any other travel-related expenses.

Cost Element	Year 1			Year 2			Year 3			Warranty / Post Warranty Period			Total Hours	Total Cost
	$/hr	Hours	Total	$/hr	Hours	Total	$/hr	Hours	Total	$/hr	Hours	Total		
Requirements Analysis														
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Subtotal		0.00	$0.00		0.00	$0.00		0.00	$0.00				0.00	$0.00
Software Modifications Development														
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Subtotal		0.00	$0.00		0.00	$0.00		0.00	$0.00				0.00	$0.00
Hardware and Commodity Software Installation and Configuration														
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Subtotal		0.00	$0.00		0.00	$0.00		0.00	$0.00				0.00	$0.00
Integration														
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Subtotal		0.00	$0.00		0.00	$0.00		0.00	$0.00				0.00	$0.00
Conversion and Bridging														
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Subtotal		0.00	$0.00		0.00	$0.00		0.00	$0.00				0.00	$0.00

Wisconsin Department of Employee Trust Funds - Schedule 3
Vendor's Firm Fixed Price Cost Proposal for Functional Project Elements

Service Related and Miscellaneous Costs and Fees

NOTE: All hourly rates quoted must be fully "loaded" to capture all direct and overhead expenses, travel, per diem, and any other travel-related expenses.

Cost Element	Year 1			Year 2			Year 3			Warranty / Post Warranty Period			Total Hours	Total Cost
	$/hr	Hours	Total	$/hr	Hours	Total	$/hr	Hours	Total	$/hr	Hours	Total		
Training														
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
ETF Travel			$0.00			$0.00			$0.00					$0.00
Subtotal		0.00	$0.00		0.00	$0.00		0.00	$0.00				$0.00	$0.00
Testing														
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Subtotal		0.00	$0.00		0.00	$0.00		0.00	$0.00				0.00	$0.00
Document Preparation														
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Subtotal		0.00	$0.00		0.00	$0.00		0.00	$0.00				0.00	$0.00
Project Management														
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Subtotal		0.00	$0.00		0.00	$0.00		0.00	$0.00				0.00	$0.00
LOB Application Software Warranty for 12 Months after Final Acceptance (Maintenance and Support)														
Position:												$0.00	0.00	$0.00
Position:												$0.00	0.00	$0.00
Position:												$0.00	0.00	$0.00
Position:												$0.00	0.00	$0.00
Subtotal											0.00	$0.00	0.00	$0.00

Wisconsin Department of Employee Trust Funds - Schedule 3
Vendor's Firm Fixed Price Cost Proposal for Functional Project Elements

Service Related and Miscellaneous Costs and Fees

NOTE: All hourly rates quoted must be fully "loaded" to capture all direct and overhead expenses, travel, per diem, and any other travel-related expenses.

Cost Element	Year 1			Year 2			Year 3			Warranty / Post Warranty Period			Total Hours	Total Cost
	$/hr	Hours	Total	$/hr	Hours	Total	$/hr	Hours	Total	$/hr	Hours	Total		
Other Support Services														
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Position:			$0.00			$0.00			$0.00				0.00	$0.00
Subtotal		0.00	$0.00		0.00	$0.00		0.00	$0.00				0.00	$0.00
Services Total		0.00	$0.00		0.00	$0.00		0.00	$0.00		0.00	$0.00	0.00	$0.00
Other Costs														
LOB Application License Fee														$0.00
Source Code														$0.00
GRAND TOTAL			$0.00			$0.00			$0.00			$0.00		$0.00

Script editing, etc.	$0.00
TBS	$0.00
TBS	$0.00
TBS	$0.00
TBS	$0.00
TBS	$0.00
TBS	$0.00
TBS	$0.00
TBS	$0.00
TBS	$0.00

Exhibit 6 Cost Schedule 4 – Option 1

Wisconsin Department of Employee Trust Funds - Schedule 4
Option 1 - Savings from Offshore Development

Vendor's Firm Fixed Price Cost Proposal

NOTE: All hourly rates quoted must be fully "loaded" to capture all reimbursable travel-related expenses.

Cost Element	Year 1 Cost			Year 2 Cost			Year 3 Cost			Warranty Period			Total Hours	Total Cost
	$/hr	Hours	Total	$/hr	Hours	Total	$/hr	Hours	Total	$/hr	Hours	Total		
Services														
Position:			$0.00			$0.00			$0.00			$0.00	0	$0.00
Position:			$0.00			$0.00			$0.00			$0.00	0	$0.00
Position:			$0.00			$0.00			$0.00			$0.00	0	$0.00
Position:			$0.00			$0.00			$0.00			$0.00	0	$0.00
Position:			$0.00			$0.00			$0.00			$0.00	0	$0.00
Position:			$0.00			$0.00			$0.00			$0.00	0	$0.00
Position:			$0.00			$0.00			$0.00			$0.00	0	$0.00
Subtotal		0	$0.00		0	$0.00		0	$0.00		0	$0.00	0	$0.00
Additional Hardware (if any)														
														$0.00
														$0.00
														$0.00
														$0.00
														$0.00
Subtotal			$0.00			$0.00			$0.00			$0.00		$0.00
Additional Commodity Software (if any)														
														$0.00
														$0.00
														$0.00
														$0.00
														$0.00
Subtotal			$0.00			$0.00			$0.00			$0.00		$0.00
Miscellaneous Costs (if any)														
														$0.00
														$0.00
														$0.00
Subtotal			$0.00			$0.00			$0.00			$0.00		$0.00
GRAND TOTALS		0	$0.00		0	$0.00		0	$0.00		0	$0.00	0	$0.00

Exhibit 7 Cost Schedule 10 – Cost by Project Phase

Wisconsin Department of Employee Trust Funds - Schedule 9

Vendor's Service Cost by Project Phase
Assume Functional Project Elements Only
Listed Are Preliminary Project Phases Defined in RFP - Vendor Should Add Functional Rollout (and Other) Phases as Appropriate

Project Phase	Cost
Phase 1: Detailed Work Plan	$0.00
Phase 2: Detailed requirements document, a revised detailed work plan, Development Methodology Overview – End User document, etc.	$0.00
Phase 3: Infrastructure installation and configuration	$0.00
Phase 4a: _____	$0.00
Phase 4b: _____	$0.00
Phase 4c: _____	$0.00
Phase 5: _____	$0.00
	$0.00
	$0.00
	$0.00
	$0.00
	$0.00
	$0.00
Total	**$0.00**

D.2 PROPOSAL EVALUATION

The evaluation and vendor selection process will be based on “best value”. This procurement method will be used so as to result in the “best buy” for ETF in terms of the functions to be performed.

The evaluation committee may request written clarifications of any offer received. However, ETF in its sole discretion may refuse to accept in full or partially the response to a clarification request given by any vendor.

Vendors are cautioned that the evaluators are not required to request clarifications; therefore, all offers should be complete and reflect the most favorable possible terms. ETF may elect to conduct negotiations with one or more vendors and make requests of vendors as may be necessary or proper for best and final offers (BAFOs).

The best and final offers must be received at the address identified in Section A.2.1 at a time and date to be specified by ETF. If a best and final offer is not submitted, the previous submittal will be construed as the best and final offer. BAFO proposals must be prepared in the same number of copies and packaged and submitted according to the same instructions that apply to the initial proposal submission (please refer to Section D.1). Final ranking of responses and award of the contract will be made after ETF reviews all bids and completes its evaluation, including the evaluation of best and final offers, if they are requested. An award will be made to the vendor with the most advantageous offer.

PART E APPENDICES

E.1 DEFINITION OF TERMS

The following terms are used throughout this Request for Proposal:

- **AcSL** means the recently released application that assists in the automation of the application of ASLCC and SHICC benefits
- **Annuitant** see "Retiree or Annuitant" below
- **Annuity Reserve** means the portion of the trust fund used to pay annuities
- **Application Administrator** means a member of ETF staff (typically a business analyst, not a member of the IT organization) who is responsible for and has the access rights to perform administrative tasks such as adding users or changing user access rights within the BAS
- **ASLCC** means the Accumulated Sick Leave Conversion Credit by which retiring members can use their accumulated sick leave to pay healthcare insurance premiums until the ASLCC account has been drawn down to zero
- **BAS** means Benefits Administration System (BAS) or equivalent, the solution for which this RFP is being issued
- **Board** means the State of Wisconsin Employee Trust Funds Board
- **Carrier** means third party administrator (TPA)
- **Contractor** means the proposer who is awarded the contract
- **Core** means Core Trust Fund (contributions and investment earnings), the default fund into which employee and employer contributions are deposited and from which funds are transferred into the Annuity Reserve when a member becomes an annuitant or separated
- **Customer** means any of the three groups who are served by or serve ETF, members, employers, or TPAs
- **Deemed Earnings** means those permitted contributions to be paid to WRS on earnings that were deemed to have been earned during the state-ordered furloughs during FY2010 and 2011 as well as the addition of creditable service for the period covered by those contributions
- **Department** means the Wisconsin Department of Employee Trust Funds (ETF)
- **DET** means the State of Wisconsin Division of Enterprise Technology
- **DOA** means the Wisconsin Department of Administration
- **Domestic Partner** means a person recognized by Wisconsin law who, though unmarried, is entitled to all benefits of a spouse. Note: because federal tax laws do not recognize domestic partners as spouses, domestic partners are treated as non spouses in some cases (joint survivor options limit based on ages, timeframe to apply for a death benefit, imputed income on health insurance if insured is not a tax dependent, etc.)
- **DRO** means Domestic Relations Order, a court order which states the percentage of a WRS member's deferred compensation account or annuity to be awarded to that member's former spouse or domestic partner, the decree date, etc. See also QDRO
- **ETF** means the Wisconsin Department of Employee Trust Funds, the Wisconsin state agency issuing this RFP

- **Excess or Deficiency Amount** means the difference between the actual total balance in the WRS account and what the total balance would have been had there been no funds invested in the variable fund
- **FAE** means final average earnings
- **Final Average Earnings** means the total of the three highest years of earnings divided by the service credited during those three years divided by 12 months
- **FMIS** means the Financial Management Information System that will be in place at ETF shortly after the BAS implementation project begins
- **Formula Benefit Calculation** means a retirement benefit calculation based on FAE, years of credited service, employment category, and other adjustments
- **Imaging System** means the InputAccel image acquisition (scanning, indexing, QA, and release) system and does not include image archive, management, or viewing
- **LOB** means Line of Business system, a term that is virtually synonymous with BAS
- **Money Purchase Benefit Calculation** means a retirement benefit calculation based on the employee and employer contributions, the applicants age, and accumulated interest
- **OEI** means Office of Enterprise Initiatives
- **Package** means Benefits Administration System (BAS) or equivalent
- **Participant Account Ledger (PAL)** means the database file into which active member data is moved at year end of its second year, i.e., ETF retains only (up to) two years of data in a member's account. The rolled up annual totals for a member's service, interest, contributions, etc., are available for viewing in a separate application. Prior to 1999, the data is available only on micro-fiche
- **Proposer** see "Vendor or Proposer" below
- **QDRO** means Qualified Domestic Relations Order, a court order which states the percentage of a WRS member's account or annuity to be awarded to that member's former spouse or domestic partner, the decree date, etc. See also DRO
- **Resolution** (when used in the context of a WRS employer) means the date the employer legally committed to becoming an employer participant in the WRS
- **Retiree or Pensioner** or **Annuitant** means a former employee of a State or Wisconsin Public Employer who is retired and receives an annuity or lump sum benefit from the Wisconsin Retirement System
- **Retirement Benefit Amount** means the higher result of either the Formula Benefit Calculation or the Money Purchase Benefit Calculation
- **Retirement Benefit Calculation** means the benefit calculated by means of the Formula Benefit Calculation or that of the Money Purchase Benefit Calculation
- **RFP** means Request for Proposal
- **Section** has three meanings in this RFP.
  - When spelled out completely, Section, the subsequent number is (typically) a hyperlink to an "outline" numbered portion of the RFP itself
  - When a State statute is referenced by section, the section indication is typically a single lower-case s followed by a period

- When a number in a numbered list of bullets is referenced, the indication is typically the section symbol, §

- **Separation Benefit** is commonly referred to in many other retirement systems as a refund. It is the payment made to a member who chooses to withdraw from the fund and take a refund of their prior contributions
- **SHICC** means Supplemental Health Insurance Conversion Credit, a program that provides supplemental (to the ASLCC program) sick leave credits for participants retiring with 15 or more years of service
- **SPOC** means single point of contact
- **State** means State of Wisconsin
- **TPA** means third party administrator, a vendor under contract with ETF and/or one of its Boards
- **TIM** is the overriding Transformation, Integration and Modernization project of which the solution procured by this RFP is a significant portion
- **Variable Excess or Deficiency** used to calculate the amount by which the actual pension benefit is adjusted based on the difference between their actual account balance and what their account balance would have been had they been 100% invested in core
- **Variable Trust Fund** means a separate investment trust fund for employees who elect to participate in higher risk investments to deposit 50% of employee and employer contributions
- **Vendor or Proposer** used interchangeably means a firm or individual submitting a proposal in response to this RFP
- **WRS** means Wisconsin Retirement System, the major retirement benefit program administered by the Employee Trust Funds (ETF).

Please also see ETF's glossary on their home page at:

http://etf.wi.gov/glossary.htm

for additional definitions.

E.2 STANDARD TERMS AND CONDITIONS (DOA-3054)

E.2.1 SPECIFICATIONS

The specifications listed in this RFP are the minimum acceptable. When specific manufacturer and model numbers are used, they are to establish a design, type of construction, quality, functional capability and/or performance level desired. When alternates are bid/proposed, they must be identified by manufacturer, stock number, and such other information necessary to establish equivalency. ETF shall be the sole judge of equivalency. Bidders/proposers are cautioned to avoid bidding alternates to the specifications which may result in rejection of their bid/proposal.

E.2.2 DEVIATIONS AND EXCEPTION

Deviations and exceptions from original text, terms, conditions, or specifications shall be described fully, on the bidder's/proposer's letterhead, signed, and attached to the request. In the absence of such statement, the bid/proposal shall be accepted as in strict compliance with all terms, conditions, and specifications and the bidders/proposers shall be held liable.

E.2.3 QUALITY

Unless otherwise indicated in the request, all material shall be first quality. Items which are used, demonstrators, obsolete, seconds, or which have been discontinued are unacceptable without prior written approval by the State of Wisconsin.

E.2.4 QUANTITIES

The quantities shown on this request are based on estimated needs. The state reserves the right to increase or decrease quantities to meet actual needs.

E.2.5 DELIVERY

Deliveries shall be F.O.B. destination freight prepaid and included unless otherwise specified.

E.2.6 PRICING AND DISCOUNT

The State of Wisconsin qualifies for governmental discounts and its educational institutions also qualify for educational discounts. Unit prices shall reflect these discounts.

1. Unit prices shown on the bid/proposal or contract shall be the price per unit of sale (e.g., gal., cs., doz., and ea.) as stated on the request or contract. For any given item, the quantity multiplied by the unit price shall establish the extended price, the unit price shall govern in the bid/proposal evaluation and contract administration.
2. Prices established in continuing agreements and term contracts may be lowered due to general market conditions, but prices shall not be subject to increase for ninety (90) calendar days from the date of award. Any increase proposed shall be submitted to the contracting agency thirty (30) calendar days before the proposed effective date of the price increase, and shall be limited to fully documented cost increases to the contractor which are demonstrated to be industry wide.

The conditions under which price increases may be granted shall be expressed in bid/proposal documents and contracts or agreements.

3. In determination of award, discounts for early payment will only be considered when all other conditions are equal and when payment terms allow at least fifteen (15) days, providing the discount terms are deemed favorable. All payment terms must allow the option of net thirty (30).

E.2.7 UNFAIR SALES ACT

Prices quoted to the State of Wisconsin are not governed by the Unfair Sales Act.

E.2.8 ACCEPTANCE-REJECTION

The State of Wisconsin reserves the right to accept or reject any or all bids/proposals, to waive any technicality in any bid/proposal submitted, and to accept any part of a bid/proposal as deemed to be in the best interests of the State of Wisconsin.

Bids/proposals **must** be date and time stamped by the soliciting purchasing office (see Section A.2.1) on or before the date and time that the bid/proposal is due. Bids/proposals date and time stamped in another office will be rejected. Receipt of a bid/proposal by the mail system does not constitute receipt of a bid/proposal by the purchasing office.

E.2.9 METHOD OF AWARD

Award shall be made to the lowest responsible, responsive proposer unless otherwise specified.

E.2.10 ORDERING

Purchase orders or releases via purchasing cards shall be placed directly to the contractor by an authorized agency. No other purchase orders are authorized.

E.2.11 PAYMENT TERMS AND INVOICING

The State of Wisconsin normally will pay properly submitted vendor invoices within thirty (30) days of receipt providing goods and/or services have been delivered, installed (if required), and accepted as specified.

Invoices presented for payment must be submitted in accordance with instructions contained on the purchase order including reference to purchase order number and submittal to the correct address for processing.

A good faith dispute creates an exception to prompt payment.

E.2.12 TAXES

The State of Wisconsin and its agencies are exempt from payment of all federal tax and Wisconsin state and local taxes on its purchases except Wisconsin excise taxes as described below.

The State of Wisconsin, including all its agencies, is required to pay the Wisconsin excise or occupation tax on its purchase of beer, liquor, wine, cigarettes, tobacco products, motor vehicle fuel and general aviation fuel. However, it is exempt from payment of Wisconsin sales or use tax on its

purchases. The State of Wisconsin may be subject to other states' taxes on its purchases in that state depending on the laws of that state. Contractors performing construction activities are required to pay state use tax on the cost of materials.

E.2.13 GUARANTEED DELIVERY

Failure of the contractor to adhere to delivery schedules as specified or to promptly replace rejected materials shall render the contractor liable for all costs in excess of the contract price when alternate procurement is necessary. Excess costs shall include the administrative costs.

E.2.14 ENTIRE AGREEMENT

These Standard Terms and Conditions shall apply to any contract or order awarded as a result of this request except where special requirements are stated elsewhere in the request; in such cases, the special requirements shall apply. Further, the written contract and/or order with referenced parts and attachments shall constitute the entire agreement and no other terms and conditions in any document, acceptance, or acknowledgment shall be effective or binding unless expressly agreed to in writing by the contracting authority.

E.2.15 APPLICABLE LAW AND COMPLIANCE

This contract shall be governed under the laws of the State of Wisconsin. The contractor shall at all times comply with and observe all federal and state laws, local laws, ordinances, and regulations which are in effect during the period of this contract and which in any manner affect the work or its conduct. The State of Wisconsin reserves the right to cancel this contract if the contractor fails to follow the requirements of s. 77.66, Wis. Stats., and related statutes regarding certification for collection of sales and use tax. The State of Wisconsin also reserves the right to cancel this contract with any federally debarred contractor or a contractor that is presently identified on the list of parties excluded from federal procurement and non-procurement contracts.

E.2.16 ANTITRUST ASSIGNMENT

The contractor and the State of Wisconsin recognize that in actual economic practice, overcharges resulting from antitrust violations are in fact usually borne by the State of Wisconsin (purchaser). Therefore, the contractor hereby assigns to the State of Wisconsin any and all claims for such overcharges as to goods, materials or services purchased in connection with this contract.

E.2.17 ASSIGNMENT

No right or duty in whole or in part of the contractor under this contract may be assigned or delegated without the prior written consent of the State of Wisconsin.

E.2.18 WORK CENTER CRITERIA

A work center must be certified under s. 16.752, Wis. Stats., and must ensure that when engaged in the production of materials, supplies or equipment or the performance of contractual services, not less than seventy-five percent (75%) of the total hours of direct labor are performed by severely handicapped individuals.

E.2.19 NONDISCRIMINATION / AFFIRMATIVE ACTION

In connection with the performance of work under this contract, the contractor agrees not to discriminate against any employee or applicant for employment because of age, race, religion, color, handicap, sex, physical condition, developmental disability as defined in s. 51.01(5), Wis. Stats., sexual orientation as defined in s. 111.32(13m), Wis. Stats., or national origin. This provision shall include, but not be limited to, the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. Except with respect to sexual orientation, the contractor further agrees to take affirmative action to ensure equal employment opportunities.

1. Contracts estimated to be over fifty thousand dollars ($50,000) require the submission of a written affirmative action plan by the contractor. An exemption occurs from this requirement if the contractor has a workforce of fewer than fifty (50) employees. Within fifteen (15) working days after the contract is awarded, the contractor must submit the plan to the contracting state agency for approval. Instructions on preparing the plan and technical assistance regarding this clause are available from the contracting state agency.
2. The contractor agrees to post in conspicuous places, available for employees and applicants for employment, a notice to be provided by the contracting state agency that sets forth the provisions of the State of Wisconsin's nondiscrimination law.
3. Failure to comply with the conditions of this clause may result in the contractor's becoming declared an "ineligible" contractor, termination of the contract, or withholding of payment.

E.2.20 PATENT INFRINGEMENT

The contractor selling to the State of Wisconsin the articles described herein guarantees the articles were manufactured or produced in accordance with applicable federal labor laws. Further, that the sale or use of the articles described herein will not infringe any United States patent. The contractor covenants that it will at its own expense defend every suit which shall be brought against the State of Wisconsin (provided that such contractor is promptly notified of such suit, and all papers therein are delivered to it) for any alleged infringement of any patent by reason of the sale or use of such articles, and agrees that it will pay all costs, damages, and profits recoverable in any such suit.

E.2.21 SAFETY REQUIREMENTS

All materials, equipment, and supplies provided to the State of Wisconsin must comply fully with all safety requirements as set forth by the Wisconsin Administrative Code and all applicable OSHA Standards.

E.2.22 WARRANTY

Unless otherwise specifically stated by the Proposer, equipment purchased as a result of this request shall be warranted against defects by the Proposer for one (1) year from date of acceptance. The equipment manufacturer's standard warranty shall apply as a minimum and must be honored by the contractor.

E.2.23 INSURANCE RESPONSIBILITY

The contractor performing services for the State of Wisconsin shall:

1. Maintain worker's compensation insurance as required by Wisconsin Statutes, for all employees engaged in the work.
2. Maintain commercial liability, bodily injury and property damage insurance against any claim(s) which might occur in carrying out this agreement/contract. Minimum coverage shall be one million dollars ($1,000,000) liability for bodily injury and property damage including products liability and completed operations. Provide motor vehicle insurance for all owned, non-owned and hired vehicles that are used in carrying out this contract. Minimum coverage shall be one million dollars ($1,000,000) per occurrence combined single limit for automobile liability and property damage.
3. The state reserves the right to require higher or lower limits where warranted.

E.2.24 CANCELLATION

The State of Wisconsin reserves the right to cancel any contract in whole or in part without penalty due to non-appropriation of funds or for failure of the contractor to comply with terms, conditions, and specifications of this contract.

E.2.25 VENDOR TAX DELINQUENCY

Vendors who have a delinquent Wisconsin tax liability may have their payments offset by the State of Wisconsin.

E.2.26 PUBLIC RECORDS ACCESS

It is the intention of the state to maintain an open and public process in the solicitation, submission, review, and approval of procurement activities.

Bid/proposal openings are public unless otherwise specified. Materials submitted for the RFP process may not be available for public inspection before the notice of intent to award is issued.

E.2.27 PROPRIETARY INFORMATION

Any restrictions on the use of data contained within a request, must be clearly stated in the bid/proposal itself. Proprietary information submitted in response to a request will be handled in accordance with applicable State of Wisconsin procurement regulations and the Wisconsin public records law. Proprietary restrictions normally are not accepted. However, when accepted, it is the vendor's responsibility to defend the determination in the event of an appeal or litigation.

1. Data contained in a bid/proposal, all documentation provided therein, and innovations developed as a result of the contracted commodities or services cannot be copyrighted or patented. All data, documentation, and innovations become the property of the State of Wisconsin.
2. Any material submitted by the vendor in response to this request that the vendor considers confidential and proprietary information and which qualifies as a trade secret, as provided in s. 19.36(5), Wis. Stats., or material which can be kept confidential under the Wisconsin public records law, must be identified on a Designation of Confidential and Proprietary Information form

(DOA-3027). Bidders/proposers may request the form if it is not part of the Request for Bid/Request for Proposal package. Bid/proposal prices cannot be held confidential.

E.2.28 DISCLOSURE

If a state public official (s. 19.42, Wis. Stats.), a member of a state public official's immediate family, or any organization in which a state public official or a member of the official's immediate family owns or controls a ten percent (10%) interest, is a party to this agreement, and if this agreement involves payment of more than three thousand dollars ($3,000) within a twelve (12) month period, this contract is voidable by the state unless appropriate disclosure is made according to s. 19.45(6), Wis. Stats., before signing the contract. Disclosure must be made to the Government Accountability Board, 212 East Washington Avenue, Third Floor, P O Box 7984, Madison, Wisconsin 53707-7984 (Telephone 608-266-8005).

State classified and former employees and certain University of Wisconsin faculty/staff are subject to separate disclosure requirements, s. 16.417, Wis. Stats.

E.2.29 RECYCLED MATERIALS

The State of Wisconsin is required to purchase products incorporating recycled materials whenever technically and economically feasible. Proposers are encouraged to bid products with recycled content which meet specifications.

E.2.30 MATERIAL SAFETY DATA SHEET

If any item(s) on an order(s) resulting from this award(s) is a hazardous chemical, as defined under 29CFR 1910.1200, provide one (1) copy of a Material Safety Data Sheet for each item with the shipped container(s) and one (1) copy with the invoice(s).

E.2.31 PROMOTIONAL ADVERTISING / NEWS RELEASES

Reference to or use of the State of Wisconsin, any of its departments, agencies or other subunits, or any state official or employee for commercial promotion is prohibited. News releases pertaining to this procurement shall not be made without prior approval of the State of Wisconsin. Release of broadcast emails pertaining to this procurement shall not be made without prior written authorization of the contracting agency.

E.2.32 HOLD HARMLESS

The contractor will indemnify and save harmless the State of Wisconsin and all of its officers, agents and employees from all suits, actions, or claims of any character brought for or on account of any injuries or damages received by any persons or property resulting from the operations of the contractor, or of any of its contractors, in prosecuting work under this agreement.

E.2.33 FOREIGN CORPORATION

A foreign corporation (any corporation other than a Wisconsin corporation) which becomes a party to this Agreement is required to conform to all the requirements of Chapter 180, Wis. Stats., relating to a foreign corporation and must possess a certificate of authority from the Wisconsin Department of

Financial Institutions, unless the corporation is transacting business in interstate commerce or is otherwise exempt from the requirement of obtaining a certificate of authority. Any foreign corporation which desires to apply for a certificate of authority should contact the Department of Financial Institutions, Division of Corporation, P. O. Box 7846, Madison, WI 53707-7846; telephone (608) 261-7577.

E.2.34 WORK CENTER PROGRAM

The successful Proposer shall agree to implement processes that allow the State agencies, including the University of Wisconsin System, to satisfy the State's obligation to purchase goods and services produced by work centers certified under the State Use Law, s.16.752, Wis. Stat. This shall result in requiring the successful Proposer to include products provided by work centers in its catalog for State agencies and campuses or to block the sale of comparable items to State agencies and campuses.

E.2.35 FORCE MAJEURE

Neither party shall be in default by reason of any failure in performance of this Agreement in accordance with reasonable control and without fault or negligence on their part. Such causes may include, but are not restricted to, acts of nature or the public enemy, acts of the government in either its sovereign or contractual capacity, fires, floods, epidemics, quarantine restrictions, strikes, freight embargoes and unusually severe weather, but in every case the failure to perform such must be beyond the reasonable control and without the fault or negligence of the party.

E.3 SUPPLEMENTAL STANDARD TERMS AND CONDITIONS FOR PROCUREMENTS FOR SERVICES (DOA-3681)

E.3.1 ACCEPTANCE OF BID/PROPOSAL CONTENT

The contents of the bid/proposal of the successful contractor will become contractual obligations if procurement action ensues.

E.3.2 CERTIFICATION OF INDEPENDENT PRICE DETERMINATION

By signing this bid/proposal, the Proposer certifies, and in the case of a joint bid/proposal, each party thereto certifies as to its own organization, that in connection with this procurement:

1. The prices in this bid/proposal have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other Proposer or with any competitor;
2. Unless otherwise required by law, the prices which have been quoted in this bid/proposal have not been knowingly disclosed by the Proposer and will not knowingly be disclosed by the Proposer prior to opening in the case of an advertised procurement or prior to award in the case of a negotiated procurement, directly or indirectly to any other Proposer or to any competitor; and
3. No attempt has been made or will be made by the Proposer to induce any other person or firm to submit or not to submit a bid/proposal for the purpose of restricting competition.
4. Each person signing this bid/proposal certifies that: He/she is the person in the proposer's/proposer's organization responsible within that organization for the decision as to the prices being offered herein and that he/she has not participated, and will not participate, in any action contrary to 1 through 3 above; (or)
5. He/she is not the person in the bidder's/proposer's organization responsible within that organization for the decision as to the prices being offered herein, but that he/she has been authorized in writing to act as agent for the persons responsible for such decisions in certifying that such persons have not participated, and will not participate in any action contrary to 1 through 3 above, and as their agent does hereby so certify; and he/she has not participated, and will not participate, in any action contrary to 1 through 3 above.

E.3.3 DISCLOSURE OF INDEPENDENCE AND RELATIONSHIP

1. Prior to award of any contract, a potential contractor shall certify in writing to the procuring agency that no relationship exists between the potential contractor and the procuring or contracting agency that interferes with fair competition or is a conflict of interest, and no relationship exists between the contractor and another person or organization that constitutes a conflict of interest with respect to a state contract. The Department of Administration may waive this provision, in writing, if those activities of the potential contractor will not be adverse to the interests of the state.
2. Contractors shall agree as part of the contract for services that during performance of the contract, the contractor will neither provide contractual services nor enter into any agreement to provide services to a person or organization that is regulated or funded by the contracting agency or has interests that are adverse to the contracting agency. The Department of

Administration may waive this provision, in writing, if those activities of the contractor will not be adverse to the interests of the state.

E.3.4 DUAL EMPLOYMENT

Section 16.417, Wis. Stats., prohibits an individual who is a State of Wisconsin employee or who is retained as a contractor full-time by a State of Wisconsin agency from being retained as a contractor by the same or another State of Wisconsin agency where the individual receives more than $12,000 as compensation for the individual's services during the same year. This prohibition does not apply to individuals who have full-time appointments for less than twelve (12) months during any period of time that is not included in the appointment. It does not include corporations or partnerships.

E.3.5 EMPLOYMENT

The contractor will not engage the services of any person or persons now employed by the State of Wisconsin, including any department, commission or board thereof, to provide services relating to this agreement without the written consent of the employing agency of such person or persons and of the contracting agency.

E.3.6 CONFLICT OF INTEREST

Private and non-profit corporations are bound by ss. 180.0831, 180.1911(1), and 181.0831 Wis. Stats., regarding conflicts of interests by directors in the conduct of state contracts.

E.3.7 RECORDKEEPING AND RECORD RETENTION

The contractor shall establish and maintain adequate records of all expenditures incurred under the contract. All records must be kept in accordance with generally accepted accounting procedures. All procedures must be in accordance with federal, state and local ordinances.

The contracting agency shall have the right to audit, review, examine, copy, and transcribe any pertinent records or documents relating to any contract resulting from this bid/proposal held by the contractor. The contractor will retain all documents applicable to the contract for a period of not less than three (3) years after final payment is made.

E.3.8 INDEPENDENT CAPACITY OF CONTRACTOR

The parties hereto agree that the contractor, its officers, agents, and employees, in the performance of this agreement shall act in the capacity of an independent contractor and not as an officer, employee, or agent of the state. The contractor agrees to take such steps as may be necessary to ensure that each subcontractor of the contractor will be deemed to be an independent contractor and will not be considered or permitted to be an agent, servant, joint venturer, or partner of the state.

E.4 FUNCTIONAL REQUIREMENTS

The following sections provide detailed information on the business and technical functional requirements that are to be satisfied by the new system.

E.4.1 DESIRED "TO BE" MAJOR BUSINESS FUNCTIONALITY

E.4.1.1 ACTIVITY TRACKING

The following section outlines functionality required to maintain the various contacts associated with customers to be maintained in the BAS solution.

Table 42 Functional Requirements for Activity Tracking

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture (automatically user-id, user name, date and time stamped) all customer contacts and inquiries, including comment, status, routing, requestor, caller, relationship, etc. (via email, correspondence, telephone calls, portal interactions, individual or group sessions, Facebook posts, Twitter tweets, IM sessions, personal contact, etc.). As appropriate, interactions should be categorized and coded based on type of interaction (information, disability, death, etc.)		•				
2.	Same as above for callers who are not members or related to members but who have a question related to ETF			•			
3.	Ability to automatically capture, index appropriately, and subsequently retrieve all ETF responses to any customer interactions (including email, correspondence, telephone calls, portal interactions, face-to-face sessions, Facebook posts, Twitter tweets, IM sessions, personal contact, etc.)		•				
4.	Ability to search on and retrieve all system-captured interactions with customers, showing (where appropriate) conversation threads independent of means of having input the interaction data (automatically generated correspondence, portal interaction, email, Facebook posts, Twitter tweets, etc.)		•				
5.	Ability to limit access for certain activities such as being able to modify or delete an appointment	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
6.	Ability to capture a form request (form requested, date requested, date mailed, the requestor, the recipient) and subsequent fulfillment information	•	•				
7.	Ability to capture in the activity tracking log all information that was historically provided / sent to the member and when		•				
8.	Ability to capture a request for income verification from a third party	•	•				
9.	Ability to capture, at the individual customer level, the preferred means of communication (e.g., mail, telephone, email, fax, relay telephone, Braille, etc.)	•	•				
	PROCESSES						
10.	Ability to integrate activity tracking log capabilities with the BAS, not requiring duplicate input of data or separate action and / or access modes		•				
11.	Ability for users to tie documents, images, spreadsheets, and similar or related items to any activity tracking log entry	•	•				
12.	Ability to access any activity tracking log entry by SSN, ETF identifier, name, date of birth, phone number, or other lookup fields		•				
13.	Ability to automatically link calendar activities to contacts		•				
14.	Ability to automatically pass the document code / document name of imaged documents from the imaging system to the BAS and update the activity tracking log contained in the BAS	•	•				
15.	Ability to automatically update the activity tracking database for life events, including but not limited to beneficiary designation, request for retirement benefit estimate, retirement or disability application, termination of employment, refund requests, service credit purchases, death of member, or beneficiary, etc.		•				
16.	Ability to display all activity tracking transactions dates and times		•				
17.	Ability to display comments / notes attached to a member's account		•				
18.	Ability to display the status (not-started, in-process, pending more information, completed, etc.) of all workflow processes	•	•				
19.	Ability to easily access all pertinent information on any customer (member, retiree, beneficiary, third party payee, employer, other retirement system, etc.) when a contact occurs		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
20.	Ability to initiate workflow processes both automatically (via the imaging of documents) and manually based on the receipt of a phone-call, portal interaction, walk-in, fax, email, etc.	•	•				
21.	Ability to produce content on demand forms / correspondence online and batch; consolidate multiple documents for the same person and print in a single print job, add image copy to member folder; and update activity tracking log		•				
22.	Ability to retrieve forms / correspondence online and update activity tracking log	•	•				
23.	Ability to provide the same activity tracking features applicable to organizations (employers, banks, third parties, etc.) as those that are applicable to people (members, beneficiaries, etc.)		•				
24.	Ability to provide a small quantity (to be defined) densely packed customer service screens (inquiry only) that contain as much summary information as possible for given functional areas (death, refund, pension payroll, disability, beneficiary, etc.) and the ability to drill-down for detailed information if so desired by the user		•				
25.	Ability to capture, track, and report on at the individual level when a mass mailing was sent, to whom and how it was sent to each recipient (e.g., USPS, email, email link)		•				
26.	Ability to automatically update displayed activity tracking information to reflect the most recent transaction or information provided to the customer via the system (i.e., change in beneficiary, retirement estimate, etc.) or as a result of a communication between ETF and the customer – phone, email, portal, mail, FAX, or in person		•				
27.	Ability to sort and/or "filter" user comments so that a user can see all comments, just comments related to a business area, just comments for a business process, just comments for a window of time or subject, key-word search, scroll through comments chronologically, etc.		•				
	OUTPUTS						
28.	Ability to generate a chronological and by subject report of the activity log		•				
29.	Ability to generate a report listing all activity tracking entries for a contact		•				
30.	Ability to print any activity tracking view exactly as it appears on the user's screen		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
31.	Ability to provide managers with an end of day appointment change report for review		•				
	CONTROL						
32.	Ability to provide automatic alerts in case of unfulfilled member requests		•				
33.	Ability to monitor and limit various types or frequency of member requests		•				
34.	Ability to restrict a member's access to all or a portion of their account in specific instances such as an appeal or a case of fraud		•				
	METRICS						
35.	Ability to generate reports for telephone statistics (type of call, type of caller, forecasting)		•				
36.	Ability to generate reports for contact statistics (by contact type, email, portal, Facebook, etc.)		•				

E.4.1.2 ANNUAL STATEMENT

It is ETF's expectation that the production of an annual statement of Benefits, or real time or point in time statement of account will eventually be made available to customers through the Web portal appropriate to them. The presentation and scope of content included in the report will vary depending on selections the customer makes in preparation for running the report.

Table 43 Functional Requirements for Annual Statement

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture a customer statement distribution indicator so that a customer can instruct ETF as to how the statement should be delivered (mail, email, portal link, CD, DVD, fax, DO NOT DELIVER, etc.)	•	•				
2.	Ability to allow customer to indicate address to which membership statement is to be mailed (if mail is option for receipt)	•	•				
3.	Ability to permit members to select frequency at which statement is to be generated and emailed, mailed or faxed	•	•				
4.	Ability to highly parameterize the layout and design of the customer statement so that changes to the statement can be implemented without extensive coding and testing	•	•				
	PROCESSES						
5.	Ability to export, according to an ETF-defined file format, data required to populate a membership statement		•				
6.	Ability to allow the customer statement to be generated in booklet form			•			
7.	Ability to allow the customer statement to be generated in 8.5 by 11 format	•	•				
8.	Ability to calculate and display a customer's disability benefit on the customer statement	•	•				
9.	Ability to display the lowest level of detail of account transactions (including amounts owed, overpayments, sick leave balances, etc.) and date (e.g., bi-weekly, semi-monthly) on customer statements, as well as identification of the type of transaction	•	•				
10.	Ability to display all as well as the most recent / current employer number(s) and employer name(s) on customer statement	•	•				
11.	Ability to extract and provide on the member's customer statement the appropriate information / paragraphs pertaining to member's benefit depending on the member's account information	•	•				
12.	Ability to extract and provide retirement estimate information on the customer statement for those members that are eligible for a retirement benefit based on various levels of qualifications (e.g., if the member is within five years of normal retirement the customer statement should provide both an early and normal retirement benefit estimate)	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
13.	Ability to extract the desired information to be sent to a third party generating the customer statements		•				
14.	Ability to generate a *"Revised"* customer statement for those members that are affected by an adjustment, whether demographic or financial	•	•				
15.	Ability to generate customer statement automatically during the recipient's birthday month			•			
16.	Ability to easily modify the format and content of the customer statement should ETF elect to change / modify the statement	•	•				
17.	Ability to identify if a member is withdrawn, retired, or deceased, etc., and, if so, optionally bypass production of the customer statement for that member		•				
18.	Ability to identify customers eligible to receive a customer statement		•				
19.	Ability to identify/store/display why an estimate was not included on the customer statement	•	•				
20.	Ability to print messages on customer statement based upon specified parameters being fulfilled	•	•				
21.	Ability to provide for beneficiary information to be displayed on customer statements	•	•				
22.	Ability to provide for earliest retirement date and various retirement option amounts to be displayed on customer statements	•	•				
23.	Ability to provide service credit total and a break-out of service credit by type (Military, Accrued, Purchased, etc.), and employer on customer statements	•	•				
24.	Ability to re-run the customer statement job run for a specific retirement system, employer, members within an employer, or a specific member	•	•				
25.	Ability to sort customer statements per the customer statement distribution indicator, e.g., email, fax		•				
26.	Ability to support the fields desired on the customer statement and to allocate space for this information in the file layout		•				
27.	Ability to automate the emailing of the statements for those members electing email delivery		•				
28.	Ability for those electing fax delivery to automate the faxing of the statements		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
29.	Ability to include both summary and detail member-related information such as deductions and other tax-related information, all insurance information and accounts receivables, etc., in the customer statement	•	•				
	OUTPUTS						
30.	Ability to display and print duplicate customer statements by the member or staff from a Web or portal utility	•	•				
31.	Ability to display online and print historic customer statement information "identical" in both content and format to the original	•	•				
32.	Ability to extract and provide all appropriate customer statement data in the format prescribed by ETF with statement content (e.g., plan description, text, benefit estimates, etc.) driven by membership characteristics	•	•				
33.	Ability to provide a "real-time" annual statement (available interactively through the portal) for member	•	•				
34.	Ability to provide a "point-in-time" annual statement (available through the customer's chosen correspondence channel)	•	•				
35.	Ability to indicate on the customer statement the existence of any outstanding POAs, Guardianships, trust designations, etc.	•	•				
36.	Ability to include the existence of an outstanding order(s), such as a QDRO, on the Membership Statement	•	•				
	CONTROL						
37.	Ability to provide control report of all members who did not receive customer statements and reason for each member		•				
38.	Ability to provide management reports: that provide various statistics about the total number of accounts, number of statements generated, number unable to be generated, number undeliverable, number of statements per distribution channel, total occurrences of missing information by type, by employer, by delivery type, etc.		•				

E.4.1.3 BENEFICIARY MAINTENANCE

The following sections present functional requirements associated with members before and after they become benefit recipients and their beneficiaries and the data maintained for them. An

individual may submit a single beneficiary designation that could apply to multiple accounts or annuities. For example, a WRS employee with life insurance also has an alternate payee account and is a beneficiary of one or more accounts or annuities. Unless the designation is exclusive to one or more, it applies to all benefits for which the individual is eligible.

Table 44 Functional Requirements for Beneficiary Maintenance

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture and maintain guardians, conservators, power-of-attorney and other legal designations		•				
2.	Ability to permit an appointed guardian, conservator, POA, trustee, or other legal designee to send an electronic version of the appointment to initiate the ETF approval process	•	•				
3.	Ability to capture, maintain, query against, and display multiple beneficiaries, survivors, and dependents (for multiple benefit types) and all data associated with each (name, address, DOB, SSN, unique identifier, gender, relationship, type, distribution, percentage, factor, $ amount, etc., as appropriate)	•	•				
4.	Ability to enter, maintain, query and report against the survivor annuitant for a retiring or retired member		•				
5.	Ability to capture and maintain separate beneficiaries for all death benefits	•	•				
6.	Ability to capture, update, and inquire, and report on beneficiary change history	•	•				
7.	Ability to capture and maintain beneficiaries of beneficiaries (e.g., accidental death beneficiaries or designated annuitants) where applicable	•	•				
8.	Ability to automatically reject (with appropriate communications) a beneficiary designation when there is no death benefit payable to a beneficiary on any account, annuity or life insurance to which the designation applies		•				
	PROCESSES						
9.	Ability to accept beneficiary information without Social Security number and assign unique identifier upon initial setup (members may choose beneficiaries who reside outside the United States and therefore have no SSN)		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
10.	Ability to name and set up a Primary, Secondary, Guardian, Trust, Estate, Charity, etc. as a beneficiary, as well as establish the percentages, payment priority, etc.		•				
11.	Ability to support bi-directional links between member(s) and beneficiary(ies) alternate payees, survivors, and/or dependents so that end-user can search on a beneficiary's SSN and/or unique ID and locate the original member's account and/or all the accounts to which that beneficiary is linked		•				
12.	Ability to determine whether the annuitant is allowed to change beneficiary based on the retirement option chosen or restrictions placed on account (i.e., Guardian of Estate or Conservatorship Court Orders)		•				
13.	Ability to display current member address information and be able to update that information when processing a beneficiary change form		•				
14.	Ability to flag and automatically follow up on flagged beneficiary changes that are pending		•				
15.	Ability to automatically generate correspondence to members who have not designated a beneficiary sending them a pre-filled Beneficiary Designation form to be completed and returned		•				
16.	Ability to generate various Acknowledgement correspondence (beneficiaries, estate and trust)		•				
17.	Ability for end-user to review and update beneficiary data on file	•	•				
18.	Ability to ensure that a secondary beneficiary cannot be added unless a primary beneficiary has already been added	•	•				
19.	Ability to automatically perform appropriate edits to ensure that all designation rules are followed, e.g., member cannot name self as beneficiary, primary beneficiary cannot be contingent beneficiary, etc.	•	•				
20.	Ability to change or add status of beneficiary to that of payee (while retaining information that the individual is a beneficiary of another member)		•				
21.	Ability to automatically compare all beneficiaries, survivors, etc., with death match list(s) to determine further action		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	OUTPUTS						
22.	Ability to enclose a "Beneficiary Designation" correspondence explaining what corrections are needed and include a pre-filled new form with the correct information and what missing/incorrect information is still needed – regardless of the means of original input of the form		•				
	CONTROL						
23.	Ability to indicate as part of the member data that a POA, Trust Agreement, or other legal agreement exists as part of the member record and the characteristics of the trust		•				
24.	Ability to automatically determine that one individual or entity is named as a beneficiary to more than (some number to be determined) accounts		•				
25.	Ability to ensure that beneficiary (of a member) changes cannot be made after the date of death of that member		•				
26.	Ability to automatically compare date of death (of a member) with date changes were made to beneficiaries of that member and initiate appropriate action in case of a discrepancy		•				

E.4.1.4 BENEFIT ESTIMATES

In many respects, the functionality sought in the following section is comparable to that in Appendix E.4.1.5 Benefit Processing and Calculations, below. However, in this section more of the functionality should be made available to members as a self-service capability via the Web than they might have in the Benefit Processing and Calculation section. ETF has flagged as "Exposed via Web" those requirements it wants to make available to members. Lack of a flag in that column for a specific requirement does not necessarily eliminate that functionality from being exposed. Whether it should or can be will be determined during the requirements definition phase with the successful vendor. The vendor's response must include a narrative description of vendor's experience in what has "worked" and what has not in their experience with other systems.

Table 45 Functional Requirements for Benefit Estimates

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to provide "what-if" analysis capability by allowing user of the estimating tool to adjust benefit estimate parameters and view new calculation results	•	•				
2.	Ability to populate (subject to user override) all fields used in benefit estimate calculation from available system data (years of service, current salary, etc.)	•	•				
3.	Ability to (only accessible to authorized staff members) estimate both disability and death benefits as well as retirement	•	•				
4.	Ability to provide unauthenticated access to the benefit estimator (using the same estimating engine as the tool used to calculate final benefit) in which the individual requesting an estimate must enter all data from scratch	•	•				
	PROCESSES						
5.	Ability to provide a Web-based benefit estimate calculator (using same engine as the tool used to calculate final benefit) to assist members with estimating their pension amount	•	•				
6.	Ability for user to generate (and capture to the member record) benefit estimates off-site via the Web and deliver via print, email, etc.	•	•				
7.	Ability for staff to modify or delete estimates that have not been printed or distributed (applicable only to those estimates that the staff member has created)		•				
8.	Ability to archive, recall, and display estimates in both a summary and detailed view	•	•				
9.	Ability to calculate actual value/accrued benefit of member's account as of QDRO effective date while determining when the member would be eligible for unreduced benefit and at what amount		•				
10.	Ability to estimate a benefit based on a projected QDRO percentage	•	•				
11.	Ability to calculate benefit estimate for all scenarios, (i.e. rehired annuitant, statutory salary, QDRO, multiple employment categories, reciprocity, etc.) and all applicable payment options including future employer plan elections or legislative mandates	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
12.	Ability to calculate contributions, interest and service through member's projected date of retirement based on the member's employment status (using a variety of period-specific growth rates applicable to salary and interest within the same estimate scenario) and calculate benefit estimates accordingly (including the variable excess or deficiency adjustment and allocation of the benefit between core and variable)	•	•				
13.	Ability to calculate multiple estimates for a member with the estimator, user having to enter only those fields that are changed on each iteration and display the results side-by-side for comparison purposes	•	•				
14.	Ability to display multiple benefit estimates for side-by-side comparison analysis (with differences in both input parameters and output highlighted)	•	•				
15.	Ability to estimate benefits under various plan options	•	•				
16.	Ability to estimate the cost of converting non-contributory to contributory service			•			
17.	Ability to identify and flag frequent callers who repeatedly request estimates		•				
18.	Ability to identify special conditions within a member's account (outstanding purchase of service, active or inactive account, vested, previously retired, judge, statutory salary, reciprocity ,law enforcement, etc.) as it relates to performing the benefit estimate	•	•				
19.	Ability to correctly and automatically perform all Final Average Earnings computations for all ETF supported retirement systems, retirement types and retirement options	•	•				
20.	Ability to pre-populate the estimate calculation with real-time data and store as the basis for subsequent benefits estimates	•	•				
21.	Ability to provide a user interface to accommodate benefit estimate parameter entry, viewing of calculation results, overriding of system-supplied information, and conducting estimate "what-if" analysis	•	•				
22.	Ability to recognize and adjust estimates for the unreduced value of previous annuity for rehired annuitants, overpayments or dollars paid out by ETF due to other ETF-specific special circumstances or other special rules.		•				
23.	Ability to reflect Court Ordered-reductions, estimated taxes and other deductions in benefit estimates (including accounts receivable), yielding a "net" benefit estimate	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
24.	Ability to view the most current member account data relevant to estimates, e.g., service, final average earnings, etc., (both in summary and in detail) prior to performing an estimate	•	•				
25.	Ability to save the parameters and results of the generated estimate directly from the end-user's workstation	•	•				
26.	Ability to support IRS 415 limitations in generating benefit estimates (this implies the existence of Excess Benefit Fund verbiage in the estimate)	•	•				
27.	Ability to uniquely identify each benefit estimate that is generated by automatically assigning a benefit estimate number, identifier, date, and time produced	•	•				
28.	Ability to use member's beneficiary information on file when performing an estimate and to over-ride / change for calculation purposes if needed	•	•				
29.	Ability to view any supporting documentation directly associated with a specific benefit estimate, e.g. estimate request, raw data, etc.		•				
30.	Ability to include service available for purchase (and its cost) in the estimate.	•	•				
31.	Ability to "clean-up" / delete any bad or erroneous estimates that a user wants to delete (applicable only to those estimates that the user has created)	•	•				
32.	Ability to have both standard and customized comment fields on the benefit estimate	•	•				
33.	Ability to generate estimates for forced distribution to mandated payee(s) (70½, etc.)		•				
34.	Ability to view post retirement deductions such as estimated taxes, life and health insurance premiums		•				
35.	Ability to update the variable excess or deficiency based on actual core and variable calendar year interest rate to calculate and add the variable increase or decrease adjustment to the formula calculation.		•				
36.	Ability to limit options available for each estimate, i.e. for accelerated, after age 62 must meet the monthly minimum, joint survivor if not spouse and more than 10 or 19 years younger than member, etc.		•				
37.	Ability to include voluntary employee additional contributions (regular and tax-deferred) and employer additional contributions in estimates and limit options available based on business rules.		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
38.	Ability to do estimates for actuarial reduction whereby the employer may elect to pay 100% or a portion of the straight life benefit reduction to a formula calculation based on the age reduction.		•				
	OUTPUTS						
39.	Ability to print estimates in both a summary and detailed view	•	•				
40.	Ability to use a standardized correspondence format to display benefit estimate results	•	•				
41.	The ability to generate retirement estimates in mass by entering the list or accepting a file (or input from another process) of name, SSN or other unique identifier and generate estimates including all related correspondence.		•				
	CONTROL						
42.	Ability to automatically (annually) obtain and load the new minimum/maximum monthly amount effective on January 1st of the next calendar year to the benefit estimate calculator and subsequently notify ETF staff of the update		•				
43.	Ability to automatically (annually) obtain and load the new Social Security tables from the actuary for accelerated options effective on January 1st of the next calendar year to the benefit estimate calculator and notify ETF staff of the update		•				
44.	Ability to automatically (annually) obtain and load calendar year effective rate interest and periodically for any desired changes in estimated interest to the benefit estimate calculator (i.e. expect variable loss, then use estimated loss to reduce the amount the estimate is overstated) and notify ETF staff		•				
45.	Ability to automatically every 3 years (or more often if schedule changes) obtain new mortality rates from the actuary and load them into the benefit estimate calculator and notify ETF staff of the change		•				

E.4.1.5 BENEFIT PROCESSING AND CALCULATIONS

The vendor should note that a number of requirements provided below are checked as "Exposed via Web." Requirements under "Benefit Processing and Calculations" typically are oriented toward ETF staff and management. However, some requirements below (e.g., those that deal with initiating a

workflow request for a benefit calculation, as well as others) are flagged as being "Exposed via Web." A more extensive list of Web-enabled requirements in this area is provided in Appendix E.4.1.4 Benefit Estimates. Note that since the same calculator will be used for estimates and this section, the calculating abilities in the estimates section above apply to this section also.

Note that ETF currently issues estimated benefit payments to customers before finalizing the calculation of their benefits. It is ETF's intention to calculate the final benefit payments and add those payments to the monthly payroll on the next subsequent payment date, adjusting calculations on receipt of additional account information as indicated in Table 46, below:

Table 46 Functional Requirements for Benefit Processing and Calculations

Requirement ID	Description	Exposed via Web	Highly Desired	Desired	Compliant	Customization	Non-Compliant
	Inputs						
1.	Ability to capture benefit (retirement, separation, death, disability, etc.) application information (option selection, tax withholding, beneficiary, survivor annuitant, etc.)	•	•				
2.	Ability to record, track, and display the receipt of the benefit application	•	•				
3.	Ability to adjust audit percentages (or other criteria such as ID of staff member, employer report accuracy data, staff accuracy, etc.) for the application of audits without IT intervention		•				
	Processes						
4.	Ability to remove a benefit from the payroll (for example, when a member cancels an application within the permissible time limit), restore the member to active membership, and calculate the amount of funds (benefits paid to date) to be returned to ETF and communicate results and current payment status, setting up appropriate receivable, etc.	•	•				
5.	Ability for employers to provide termination dates, unpaid leave dates, last year of service, etc. out of the normal employer reporting cycle	•	•				
6.	Ability for authorized user to override benefit estimate parameters		•				
7.	Ability to age accounts / transactions to automatically generate follow-up correspondence since last activity (e.g., after a configurable period of time, 30 days, 60 days, etc.)		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
8.	Ability to automatically calculate gross benefit, deductions, net benefit and taxes according to business rules and laws and to update payroll and tax files as indicated by benefit calculations		•				
9.	Ability to configure the system to include business rules that will automatically determine retirement special legislation "windows of eligibility" and apply to benefit calculations accordingly		•				
10.	Ability to automatically pre-fill user defined customer information on all benefit calculation forms that are printed by ETF staff and for those printed via the customer over the web	•	•				
11.	Ability to automatically record receipt of benefits returned and update member's account	•	•				
12.	Ability to automatically calculate and include interest and any necessary adjustments prior to processing a benefit calculation (including the variable excess or deficiency adjustment and allocation of the benefit between core and variable funds) so that the benefit calculation is correct and up-to-date, but without actually updating the member account		•				
13.	Ability to calculate and apply the IRS 415 limitations to the benefit calculation		•				
14.	Ability to calculate and distribute more than one benefit, possibly for different periods or plan type, (i.e. alternate payee account from QDRO)		•				
15.	Ability to automatically calculate Final Average Salary or Final Average Earnings in accordance with plan provisions, including statutory salary, all types of allowable service and including breaks in service		•				
16.	Ability to close out a member account for any trailing monies (contributions and interest) that may have been received after the initial or finalized benefit calculation and set up payment accordingly		•				
17.	Ability to automatically calculate underpayment / overpayment when comparing initial benefit amount to final benefit amount without the user having to re-enter or re-calculate this information		•				
18.	Ability to recover overpayments from a monthly benefit through application of a monthly offset		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
19.	Ability to create a benefit calculation for members who have service in multiple employment categories and for multiple (split) calculations, with the ability to view each calculation as well as the combined calculation	•	•				
20.	Ability to create an estimate for the Accelerated Option incorporating information provided by the Social Security Administration or actuarial tables regarding the member's projected Social Security benefit at age 62 and using age factors at retirement		•				
21.	Ability to create appropriate tax records (including both taxable and non-taxable portion of the benefit) upon processing benefit calculations		•				
22.	Ability to define and enhance benefit calculation logic / specifications including changes due to legislation for calculating a final average salary, final average earnings, final contributions, final interest, final service, etc.	•	•				
23.	Ability to automatically determine eligibility for all types of benefits (retirement, disability, separation, death, insurances, etc.) including calculation of comparison estimates	•	•				
24.	Ability to determine if member's 'intent to change' terms of benefit (e.g., date, option selections) was filed with ETF according to business rules and within established timeframes	•	•				
25.	Ability to determine, extract, and display what portion of the member's total benefit is funded by the member's and employer's contribution, respectively	•	•				
26.	Ability to automatically calculate the effect of the variable vs. core fund values and adjust the calculated benefit appropriately		•				
27.	Ability to flag or delete incomplete benefit calculation information transactions when member rescinds benefit prior to benefit date or after intent to change process		•				
28.	Ability to follow up on flagged beneficiary, address, EFT changes, etc., that are pending		•				
29.	Ability to handle and apply both fiscal year end (June) and calendar year end (December) closing as it relates to benefit calculation and payroll		•				
30.	Ability to handle retroactive payments and disburse them in the same media as the normal benefit payment		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
31.	Ability to automatically identify when the final salary/earnings, contribution, and service information have been reported by the employer and recalculate the benefit		•				
32.	Ability to include deductions in the initial (and subsequent) benefit calculation to yield (estimated) net benefit	•	•				
33.	Ability to automatically maintain at the participant and the summary level an excess benefit file in correspondence with IRS 415 (b) and (c) rules		•				
34.	Ability to perform benefit calculations, automatically applying appropriate factors, under all applicable options that ETF supports	•	•				
35.	Ability to perform benefit calculations for all ETF- and TPA-administered benefits in accordance with plan provisions	•	•				
36.	Ability to automatically provide a checklist detailing which benefit documents have been sent, received, and/or which are still outstanding	•	•				
37.	Ability to provide direct access to a member's detailed account information from a benefit calculation screen(s) for viewing and research purposes, with the additional ability to print this information		•				
38.	Ability to provide reason and reason code for any overpayments, child support, tax lien, etc., (drop down box/free form) so that staff members can explain situations without other staff having to review the detailed transactions		•				
39.	Ability to recalculate finalized benefit for a person who dies after the benefit calculation was performed and pass information to the appropriate ETF staff		•				
40.	Ability to support and differentiate among existing member employment and contribution categories (Law Enforcement, Appellate Court Judges, etc.)		•				
41.	Ability to perform a revised benefit calculation based on newly received information after having released the record for payment but before issuing 1st benefit payment (e.g., option changes received before retirement date)		•				
42.	Ability to update member demographic data with new information (name change, address, etc.) during benefit calculation process or direct to different work queue if necessary (SSN changes)		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
43.	Ability to verify / cross-reference the termination date provided on the benefit application against the termination date transmitted from the employer, and if a discrepancy exists, to automatically initiate the appropriate process		•				
44.	Ability, in case of underpayment or refunds, to update account(s) and issue supplemental "catch-up" payment		•				
45.	Ability, in the case of overpayment, to request repayment by one of various means, e.g.: n Lump sum n Temporary reduction in benefit necessary to recoup the overpayment within a defined number of months n A permanent reduction in benefit payment n See the Overpayment Recovery Policy and Process (see Appendix E.12)		•				
46.	Ability to calculate and pay a partial benefit for a partial initial month or for a month in which a benefit expires		•				
47.	Ability to automatically determine and apply actuarial reduction to monthly benefit	•	•				
48.	Ability to compare an estimated benefit amount versus a final benefit amount automatically without the staff member having to re-enter or re-calculate this information		•				
49.	Ability to preserve disability application date and apply it to regular retirement when the disability is denied, withdrawn, etc.		•				
50.	Ability to determine, calculate, and maintain appropriate balances for taxable and non-taxable contributions including adjusting for late-reported contributions received		•				
51.	Ability to provide an online Web utility for ETF members (annuitants) to calculate/estimate the effects of various federal and state withholding tax amounts	•	•				
52.	Ability to provide an online Web utility for ETF members (annuitants) to view/print benefit summary information	•	•				
53.	Ability to automatically recalculate a benefit amount based on a change in personal data		•				
54.	Ability to automatically recalculate and post annual adjustments to members' accounts (including late-reported earnings) as applicable		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
55.	Ability to recognize a change to the member's account and trigger a benefit adjustment workflow with the ability (if ETF desires) to have the system perform the re-calculation of benefits and the comparison of benefit amounts and apply appropriate action		•				
56.	Ability to set up, process and transfer a benefit wherein the member qualifies for a change in type of benefit			•			
57.	Ability to transfer the collection of an overpayment deduction from one benefit type to another		•				
58.	Ability to calculate and initiate distribution to mandated payee(s) (forced distribution)		•				
59.	Ability to capture audit results and statistics and generate appropriate feedback and reports		•				
60.	Ability to calculate and store for appropriate use in future benefit calculations benefit information associated with date of retirement and choice of various options		•				
61.	Ability to remove benefit from payroll when retiree is rehired and elects to stop annuity, and automatically calculate the "debit amount" of annuity benefits paid, update member's account accordingly (and the "debit amount" annually with core interest) and flag as a rehired annuitant.		•				
62.	Ability to have a new separate account created for the member's new enrollment as a rehired annuitant for employer reporting and paying a separate benefit from it when WRS employment ends (to accommodate possible law changes)		•				
63.	Ability to track and report that an election to pay actuarial reduction was received on or before the members WRS termination date, calculate the final cost for the employer's election to pay 100% or a portion of the actuarial reduction, and invoice the employer		•				
64.	Ability to automatically calculate benefits from voluntary employee additional contributions (regular and tax-deferred) and employer additional contributions and the taxable and non-taxable portions and limit options available based on business rules.		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	OUTPUTS						
65.	Ability to automatically generate a member "Recomputation correspondence" detailing the under or over payment of benefits and the steps that will be taken to either recoup the overpayment or provide a "catch-up" payment to offset the underpayment		•				
66.	Ability to generate an employer statement (a quantity to be determined) days prior to benefit finalization to verify the number of hours worked, the member's gross wages, sick leave balance, and the contributions for the last month of employment	•	•				
67.	Ability to generate correspondence to member acknowledging receipt of payment for any overpayment or other receivable due		•				
68.	Ability to produce a "Return Funds" correspondence to a financial institution to recoup the overpaid rollover / direct deposit amount		•				
69.	Ability to produce system generated correspondence informing new benefit recipients of their initial benefit and others of changes to benefit amounts		•				
70.	Ability to support the automated generation of benefit application kits containing a cover correspondence and all necessary forms appropriate to the member's situation (retirement application, rollover, beneficiary designation, application for LTDI, etc.)		•				
71.	Ability to, upon recognition that an underpayment has occurred, coordinate the calculation of the underpayment amount with other government agencies to whom the recipient might owe money prior to actual disbursement		•				
72.	Ability to generate correspondence notifying the member of options available in the event of an adjustment		•				
73.	Ability to automatically generate correspondence requesting additional documentation (death certificate, divorce decree, marriage certificate, proof of date of birth of new survivor annuitant)		•				
	CONTROL						
74.	Ability for authorized user to create, update and maintain retirement age and factor tables (dollar annuity value, early retirement factor, option factors, joint-and-survivor factor, etc.)		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
75.	Ability to capture reasons for inaccuracies or incompleteness on the benefit application and / or other related documents		•				
76.	Ability to automatically determine if the difference between the initial and final benefit amounts exceeds the ETF-defined threshold and if so, notify staff via workflow for further investigation		•				
77.	Ability to enter audit messages (typically as part of the workflow case) explaining what changes / corrections need to be made by an ETF user when auditor returns work after completion of audit pass		•				
78.	Ability to notify auditors of various case specifics / special situations prior to their auditing work / accounts		•				
79.	Ability to return record for changes if verification unsuccessful		•				
80.	Ability to route all types of benefit calculations to an audit pass in accordance with ETF business rules and operational procedures		•				
81.	Ability to automatically validate all record changes against existing business rules		•				
82.	Ability to automatically determine if the applicant is eligible for the benefit option selected		•				
	METRICS						
83.	Ability to (track information and) generate report identifying number of retirement calculation requests received, dates received, date completed, and by whom		•				
84.	Ability to accumulate errors made in completion of forms (fields consistently missed, values consistently incorrect, etc.) with automated alerts should the accumulations exceed ETF-specified thresholds		•				

E.4.1.6 CALL CENTER

The following section outlines functionality requirements of ETF's call center. While we assume that the call center agent referenced below is a member of the call center staff, our references to the call center agent in the requirements below refer to any member of ETF staff who is interacting with an external customer of ETF. However, the presumption is that the call center and the call center agents will provide ETF's "Face to the Customer" once the new BAS solution is in place.

Table 47 Functional Requirements for Call Center

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability for call center agent to retrieve member record, including BAS data, notes of previous calls, imaged documents, etc., within two seconds		•				
2.	Ability to support or integrate with existing on-line chat capability		•				
3.	Ability for call center agent to retrieve appropriate information from the (integrated) Knowledge Management repository while caller is on the phone			•			
4.	Ability for on-line (or touch tone) polling of member satisfaction following a call in a manner that allows ETF to identify the call center agent who provided the service		•				
5.	Ability for Computer Telephony Integration (CTI) integration to accept member unique identifier from member while in queue so that BAS screen is “primed” with member data when agent actually takes the call		•				
	PROCESSES						
6.	Ability for call center agent to check status of all pending customer requests from a simple query		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
7.	Ability for call center agent to quickly retrieve (and capture for optional transmission to the caller) all portions of a member record once call is activated at agent's PC. At a minimum, such "immediate" access must include: n All previous calls to the system n All recent interactions, including correspondence, between caller and the system n Status of any authorizations or information restrictions on file. n Most recent member statement n Current retirement or account value(s) n Current earnings and salary and salary history n Total service credit and service credit history (and how it was earned or purchased) n Beneficiary information n Caller demographic information (e.g., current address, beneficiary, phone number) n Current benefits and benefit history n Etc.		•				
8.	Ability for call center agent to quickly retrieve (and capture for optional transmission to the caller) all portions of an employer or TPA record once call is activated at agent's PC. At a minimum, such "immediate" access must include: n All previous calls to the system n All recent interactions, including correspondence, between caller and the system n Member information when an employer or TPA is calling on behalf of a member – and to automatically log that call for both employer or TPA and member n Caller demographic information such as participation record, contact information, etc. n Etc.		•				
9.	Ability to provide conversion of call center notes from current CALLS database into the new BAS to ensure continued access to notes in new system		•				
10.	Ability to create work item and submit to a workflow system for appropriate routing to a business unit (or individual, if necessary) for those customer queries that cannot be answered directly		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
11.	Ability to create an escalation work item to a call center supervisor in the situation when an attempted escalation cannot be completed		•				
12.	Ability to integrate ETF's current automatic call distribution (ACD) system (see Section B.1.3.7) into the Call Center interface to gather metrics and produce reports on same		•				
13.	Ability to augment metrics gathered by above systems with other metrics gathered (e.g., call resolution, calls transferred), and to produce (on demand and for specific periods) integrated reports indexed by multiple indices		•				
14.	Ability to provide agents ready access to single comprehensive list of forms, handbooks, etc., to provide immediate fulfillment based on requested means of communication of customer requests (including pre-population of fields, content tailored for member, etc.)		•				
15.	Ability for supervisors to monitor ACD calls of Call Center Agents through use of the "service observe" feature in the current phone system (see Section B.1.3.7) coupled with the ability to simultaneously view the Agent's screen(s) while monitoring the call. (Note that the ability to simultaneously view an agent's screen is NOT part of the current phone system and would have to be implemented using some other screen-sharing technology.)		•				
16.	Ability to integrate ACD and/or IVR call routing capability into the Call Center interface to distribute calls to agents based on skill level and wait time		•				
17.	Ability to use instant messaging or other such tool to permit call center agents to communicate with supervisor (or lead worker) while on line with customer		•				
	Outputs						
18.	Ability to record all or portions of telephone calls and subsequently integrate indexed, recorded .wav files into the member records			•			
19.	Ability to automatically capture text of all in-bound and out-bound emails, Twitter tweets, and Facebook posts into member record		•				
20.	Ability to capture typed encounter notes within member record following every phone call (or other encounter) using interface that makes extensive use of drop downs, mnemonics, etc.		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
21.	Ability to support a call center agent-initiated three party call such that should the agent need assistance from a member of the business staff in answering a customer request, the agent can stay on the phone with the member but bring a member of staff (including an employer or TPA representative) in on the call to assist. The call would not be transferred from the agent to the member of staff and the agent would retain the responsibility for successful call resolution.		•				
22.	Ability to support a call center agent's viewing of a customer (remote desktop) screen (through the use of PC Anywhere or Bomgar or other such tool)		•				
	CONTROL						
23.	Ability to capture statistics on management of calls so that aberrations can subsequently be addressed. Such statistics must include at least: n Talk time greater than some system configurable amount n Number of transfers greater than two n Dead air time exceeds one minute n Etc.		•				
24.	Ability to track all ACD calls (for example transfers), regardless of source, in order to subsequently support individual performance evaluation		•				
	METRICS						
25.	Ability to count and categorize calls, emails, and all other incoming requests for information, action, assistance, etc., by topic (e.g., Annual Statement, 1099-Rs, service credit, etc.) by type of caller and produce appropriate reports showing disposition, success rate, forecasting, etc.		•				
26.	Ability to capture statistics measuring individual call center agent accuracy and effectiveness to enable the analysis of trends and training opportunities		•				

E.4.1.7 CUSTOMER EDUCATION

The section outlines requirements for member, employer, and third party education. Through the listed requirements, ETF's intent is to provide a highly flexible set of tools that can be tailored to fit a broad variety of educational needs. Throughout the requirements below we refer variously to members, retirees, pensioners, benefit recipients, third parties, and employers. In fact, all of them

are ETF's customers and the requirements pertain to all of ETF's customers. Furthermore, while the requirements refer most often to seminars, other vehicles for delivery of educational material also pertain; thus the word "seminar" also includes individual and group appointment sessions, occasional one-on-one employer meetings, webinars, etc. Finally, the vendor must understand that the educational material to be delivered to the varied community through various types of meetings will include multiple types of material varying from canned overhead presentations, through customized presentations, to material that has been gathered that is specific to one demographic or to one counselee.

Table 48 Functional Requirements for Customer Education

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture information from individual and group sessions, such as questions asked, answers provided, information entered, forms / correspondence generated, etc.		•				
2.	Ability, when member is using a web-based utility to enroll in specific seminars, to accept/reject the enrollment request based on specific criteria, e.g., within 2 years of retirement, etc.	•	•				
3.	Ability to capture attendee names, questions asked and answers provided from customer seminars and to share that information with others in the ETF community	•	•				
4.	Ability to capture and subsequently use survey (of members, employers, etc.) information to produce and deliver appropriately customized education information/material	•	•				
5.	Ability to solicit and automatically capture customer (self-)identified education-related needs (on a demand-driven basis) and when a threshold quantity has been attained, automatically initiate scheduling of a specific seminar through a workflow process – or create other appropriate educational material	•	•				
6.	Ability to capture need for training through analysis of contacts such as calls or emails to Call Center / Help Desk or inquiries from in-person visits, and subsequently generate appropriate training material		•				
7.	Ability to interface with (be notified by) employers and TPAs when their staff responsible for interaction with ETF change (i.e., through a workflow process interacting with ETF)	•	•				
8.	Ability to capture and associate with a seminar location auxiliary data such as catering, ranking of nearby hotels, etc.	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	PROCESSES						
9.	Ability for customers to self-register via the Web for classes, individual and group sessions, or other services, and to alert registrants of the suitability of the class to the customer's stated need and inform them of additional learning opportunities in which they might be interested	•	•				
10.	Ability for customers to interface with the system via telephony, IVR, Web portal access, chat, etc. to sign-up for individual or group sessions (based on counselor/resource availability), directions, etc., and to ensure the integration of availability management with ETF staff's Outlook calendars	•	•				
11.	Ability to determine whether a member has attended one of several education seminar types within the past (specified number of) years.	•	•				
12.	Ability to convert all currently existing member data pertaining to past attendance in member seminars (currently stored in spreadsheets, etc.), into the new BAS database.		•				
13.	Ability to build a roster of those members due benefit estimates as a result of enrolling in a retirement seminar – and subsequently automatically generate the appropriate benefit estimates for each scheduled seminar	•	•				
14.	Ability to generate workflow to help ensure follow-up contact to members who are not appropriately enrolled or who need special care prior to a seminar		•				
15.	Ability to create and optimize scheduling of customer education sessions based on a variety of customer demographic data such as zip-code, age, previously attended seminars, etc., to include the scheduling of resources, inviting of potential attendees, creation of customized door-to-door driving directions from the member's home to the training location, management of attendee lists, generation of attendee-specific information packets, etc.	•	•				
16.	Ability to provide on-line enrollment with automated real-time confirmation of seminar and seat availability and to automatically manage and promote from a wait list once the initial allotment of seats is full, and an option for a new class to be added once a to-be determined number of members are added to the wait list, etc.	•	•				
17.	Ability to interface with ETF's existing Learning Management System (LMS)		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
18.	Ability to conduct live online training sessions and workshops to reach an unlimited number of members		•				
	OUTPUTS						
19.	Ability to generate individual or group session schedule, assign members (and staff members) to those sessions (or employer seminars and/or meetings), and generate various listings, etc. as needed	•	•				
20.	Ability to use the appointment scheduling functionality to assign walk-ins to staff available in the office		•				
21.	Ability to generate a listing of member sessions based on various parameters (by day, week, month, etc.; by an individual staff or all staff, etc.)	•	•				
22.	Ability to automatically generate an "Appointment Reminder" correspondence, phone call, text message, and/or email informing the member about an upcoming session	•	•				
23.	Ability to generate customer management reports showing demographics of customers who have attended and/or plan to attend different types of seminars or various types of training		•				
24.	Ability to push legislative-driven or life-event (including change of title), seasonal, occupation-related educational material to customers automatically based on system created trigger lists. "Life event" includes auto determination of change of staff positions in public employment, possibly through an automated interface with employer reporting		•				
25.	Ability to (based on understanding of customer needs) automatically push pre-emptive life milestone educational material to customers based on system-created trigger lists (e.g., upcoming open enrollment, vesting, within 5 or 10 years of retirement, employer rate information, etc.)	•	•				
	CONTROL						
26.	Ability to evaluate customer history and demographic information to control / limit / encourage their attendance at specific educational events	•	•				
27.	Ability to mandate and manage completion of employer and third party staff educational requirements	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	METRICS						
28.	Ability to summarize and categorize survey results (this includes Optical Mark Reader – OMR capability for capturing results from paper forms as well as tallying results from electronic surveys)		•				
29.	Ability to measure the success of an educational effort through capabilities such as pre- and post-event (paper or electronic) surveys or examinations	•	•				
30.	Ability to gather and report on problem areas in other parts of the system, e.g., completion of forms, misunderstanding of processes, missed expectations, and quantify the need to adjust the education / process / form and automatically disseminate that feedback to the appropriate area for action		•				

E.4.1.8 CUSTOMER MAINTENANCE

Our interpretation of "Customer" in this section (and throughout the RFP) is broad. Since we provide services to our active and inactive members, retirees, beneficiaries, employers, TPAs, etc., we must be able to maintain information about each within our new solution. The section outlines ETF's requirements for customer maintenance.

Table 49 Functional Requirements for Customer Maintenance

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to properly capture and appropriately act upon the consequence of a member's transfer from one participating employer to another – or the start of a second job while remaining employed at the first		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
2.	Ability to capture customer-submitted address changes through the Web site; for members such changes may be placed in a suspense file while workflow directs the approval of each change as defined by ETF before the change is posted to the system	•	•				
3.	Ability to allow a customer to change only the data fields approved by ETF (the fields to be determined at a later time) using a Web utility	•	•				
4.	Ability to capture and maintain member marital status information (single, married, widowed, divorced, domestic partner, etc.) including any required documentation	•	•				
5.	Ability to capture comments/attach notes to a customer's account		•				
6.	Ability to capture, revise, track, display, and print customer information including but not limited to the following: name, address, unique member id, Social Security number, gender, date of birth, employment date, employment details, employment category, authorized agent (in the case of an employer or TPA), etc.		•				
7.	Ability to input death notifications into a member's account so that the information is instantly available to staff working on different levels of the account processes		•				
8.	Ability to capture and track member's eligibility for, election of, participation in, and cancellation of various programs	•	•				
9.	Ability to capture, maintain, track and utilize within the member record at least four addresses specific to legally mandated items, e.g., 1099-R, Annual Statement – distinct from the general address(es) maintained in the member record		•				
10.	Ability to use third party online services to standardize and validate addresses when they are created or updated		•				
11.	Ability to integrate with other state and/or Federal agency(s), e.g., Department of Transportation, Department of Health Services, and third party vendor(s), e.g., CLEAR, to validate and verify member information		•				
12.	Ability to, for each insurer, capture the county(ies) for which the insurer provides coverage		•				
13.	Ability to input and maintain multiple contacts (including name, email, phone, mailing address, and affiliation with employer or third party) for both employers and third parties with an indication of their position, e.g., payroll clerk, city/town treasurer, etc.	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	PROCESSES						
14.	Ability to, in the case of an individual with multiple accounts, "tie" together information so that users can view all of the benefits to which an individual is entitled (i.e., receiving or eligible to receive)	•	•				
15.	Ability to access member accounts with a single entry screen	•	•				
16.	Ability to accommodate data with a status of "pending" (also maintaining its status as "pending" in workflow) for those cases where a document comes in before the document that should have arrived first to initiate the process		•				
17.	Ability to automatically notify member by correspondence at career / retirement milestones (disability, vesting, early, normal retirement, attaining age 70½, etc.)	•	•				
18.	Ability to automatically transfer all account information from the wrong member ID or SSN to the corrected member ID or SSN – and properly dispose of the "wrong ID"		•				
19.	Ability to determine if the requested change (name, date of birth, etc.) requires legal documentation and, if so, automatically send correspondence requesting the documentation	•	•				
20.	Ability to display the member account in both a summary and detailed view	•	•				
21.	Ability to enable and enforce a standard format for making notes of communications with members and actions on their accounts and store electronically		•				
22.	Ability to flag an account with the status of "waiving of a benefit" if elected by the member or beneficiary		•				
23.	Ability to flag an account with the status of "forfeiting of a benefit" if elected by the member		•				
24.	Ability to maintain variable election or cancellation per member and annually transfer funds based on the option the member selected	•	•				
25.	Ability to generate a member detailed service credit break-down correspondence and provide this information via Web access for members	•	•				
26.	Ability to identify those members that "missed" the annual adjustment, interest posting "window," etc., and have that process re-executed for them		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
27.	Ability to identify vesting eligibility based on member's start date, termination date, service, etc., and to automatically generate correspondence to the member notifying them of their vested status by system and plan		•				
28.	Ability to maintain a history of employment categories held by a member (employee)	•	•				
29.	Ability to manually separate multiple accounts where information is misapplied (e.g., two members under one member ID) without requiring IT intervention		•				
30.	Ability to view and/or download contribution, service credit and earnings totals and details for a retirement system by user defined time periods (e.g. fiscal year, calendar year, and transaction year) and by employer		•				
31.	Ability to retain a history of all changes to member data		•				
32.	Ability to reverse member account transactions and to track all such reversals		•				
33.	Ability to stop adding interest to a member's account		•				
34.	Ability to support all of ETF's various service credit "buckets" that are based on employment categories, dates of employment, etc.		•				
35.	Ability to track all payments of any sort (e.g., tax-deferred, rollover, or member's after tax personal payment etc.) for the purchase of service or payment of accounts receivables, voluntary additional employee contributions, etc., and correctly post as taxable or non-taxable contributions	•	•				
36.	Ability to track and flag member accounts with pending and approved court orders and enforce/process them appropriately		•				
37.	Ability upon transferring account information from the wrong member ID to the correct member ID, to send correspondence to the member with a copy to the employer(s), and produce a new customer statement for the member (that can subsequently be generated on demand)		•				
38.	Ability to enable merging two accounts. Transaction histories as well as master file data must be merged during this process		•				
39.	Ability to indicate as part of the member record that the SSN is a dummy number or otherwise erroneous		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
40.	Ability to track and validate the current employment status of certain members who are no longer reported to ETF, but whose memberships are in a protected, discontinued status		•				
41.	Ability to automatically inform members of pending mandatory retirement dates	•	•				
42.	Ability to identify and automatically notify members required to take mandatory distribution	•	•				
43.	Ability to automatically calculate, credit and display year to date interest on member account balances	•	•				
44.	Ability to automatically recover from any previously (and/or erroneously) applied transaction to a member's account (including the resulting application of interest, etc.) or between member accounts complete with audit tracking and GL entries as appropriate. Recovery must result in the correct disposition of all member accounts in question, e.g., the complete "rebuilding" of two member accounts when it is determined that a service credit and contribution were erroneously applied to the wrong member and must be automatically backed out of one member account and applied to a second		•				
45.	Ability to merge (and split) employers and third parties, to maintain the history of such merges and splits, and to report upon same		•				
	OUTPUTS						
46.	Ability to calculate and provide information about the potential, pending, or actual retirement benefit to external entities as authorized by member / beneficiary or required by legal process		•				
47.	Ability to provide information relating to the Federal Windfall Elimination Provision to the Social Security Administration to assist in calculation of the SSA benefit offset and so notify members		•				
48.	Ability to generate, as needed, and mail a bar-coded Data Change Notice which identifies the member's financial institution and account number, health insurance carrier and coverage and other data which the member may choose to modify and return by mail for user processing in that situation when the member will not make the changes on the web		•				
49.	Ability to interface/support exchange of information with third party sources, e.g. Berwyn, Accurant, SSA, Department of Health Services, etc. that provide death information; or DOR that provides income verification; etc.		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
50.	Ability to generate and display a member's employment history information on a single report (e.g., salary, contributions, service, payroll period, employer, etc.)	•	•				
51.	Ability to produce member statements monthly (based on month of birth) rather than all in a single month		•				
52.	Ability to automatically maintain the variable excess or deficiency amount when applying core and variable interest to non-annuitant accounts with current or past variable participation. (The excess or deficiency amount must be maintained on the WRS account to be used to adjust the formula benefit calculation until the account is closed)		•				
53.	Ability to automatically maintain the variable excess or deficiency after variable participation is canceled and the variable balance is transferred to core (until the benefit is taken, the difference remains), and. automatically update the variable excess or deficiency by the annual core interest rate after the variable balance is transferred to core and until the benefit is taken		•				
54.	Ability to automatically maintain the variable annuity amount ahead or behind (the difference is now what the annuity would be if there had never been any funds in variable), to include the amount in the annuity notice, and to automatically update the amount when variable cancellations are processed		•				
55.	Ability to automatically terminate an existing domestic partnership when a new affidavit is received that establishes a new domestic partnership and subsequently perform any necessary follow-up (e.g., if the former domestic partner was on the family health insurance contract)		•				
56.	Ability to automatically maintain the Core minimum guaranteed annuity (Core floor) when applying annual adjustments, transferring variable annuity to Core, present value offset, continuing death benefit annuities, etc. Ensure that when the applied annual adjustment is negative, the adjustment does not reduce the gross below the floor		•				
	CONTROL						
57.	Ability to determine whether changed information was verified, especially for those cases where this information is changed back and forth multiple times (as examples: SSN, date of birth), including supporting documentation		•				
58.	Ability to secure personal information (i.e., SSN, health care data) so it can be viewed only by those who are authorized		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
59.	Ability to identify accounts with non-zero balance greater or less than specified write-off criteria after withdrawal of contributions and notify a user of a possible "Additional Refund" (or recovery of funds) to be processed		•				
60.	Ability to review a former member's account, when a request is received from another state to verify membership in the ETF system; if any out of balances are detected, adjust service if necessary and pay refund (or request recovery if over refunded) of any remaining contributions before verifying service credit to the requestor		•				
61.	Ability to initiate workflow (or other notification) to the imaging system when two accounts are merged or when an account is split so that an imaging administrator can appropriately merge /split the member's information		•				
62.	Ability to systematically audit certain changes to a member record prior to applying the change		•				
63.	Ability to permit a member to have only one domestic partnership in effect at the same time and if married, to automatically end an existing domestic partnership and send appropriate correspondence		•				

E.4.1.9 DEATH

A few select requirements are identified here as being "Exposed via Web." Generally, requirements in this area are applicable only to ETF staff and management and not external parties. ETF's goal is to maintain the personal contact that is most appropriate in the processing associated with death benefits.

Table 50 Functional Requirements for Death

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture information from contested death benefit correspondence (e.g., name of person contesting death benefit, reason contesting, ETF response, etc.); automatically notify (with ability to override) the designated beneficiaries; conditional routing will occur based on correspondence between ETF and the person contesting the death benefit		•				
2.	Ability to capture information related to a death notification (e.g., date received, date of death, contact person(s) name, address, and phone number, relationship to deceased member, death certificate received indicator, etc.)		•				
3.	Ability to create a record at the time of their retirement from another system, e.g., private pension, for a person who is not a member of WRS (but will be eligible for a life insurance benefit)		•				
4.	Ability to, under strict controls, update a member's beneficiary information after the member's death and to track a history of all such changes		•				
5.	Ability to appropriately maintain a beneficiary's designation of a beneficiary		•				
6.	Ability to apply standard sequence process when that was listed as the beneficiary or in the case in which no beneficiary has been named or no named beneficiary remains alive		•				
7.	Ability to automatically manage receipt and initiation of appropriate subsequent processing (typically via initiation of workflow processing) of electronic death notices from various entities, e.g., Social Security Death Index, WI Department of Health Services (Vital Records), third party benefit administrator, for any person in the system, e.g., member, survivor, beneficiary		•				
	PROCESSES						
8.	Ability to add a beneficiary or other customer payee to (monthly) benefit payroll using a specific $ amount or percentage derived from, for example, a death benefit, an equitable distribution, etc.		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
9.	Ability to calculate (or override the calculated amount of) the death benefit (estimated and finalized and retroactive) for all payment types and store not only the estimated benefit payment calculation information but also the final calculation results, preserving the detailed calculation for future reference. If an override is performed, the transaction must be accompanied by an audit trail including the reason for the override		•				
10.	Ability to automatically create a named survivor annuitant payroll record immediately upon notification of a member's death where appropriate		•				
11.	Ability to cross-reference a survivor annuitant added to payroll and the associated deceased member (e.g., both member and spouse were in the retirement system)		•				
12.	Ability to determine direct rollover eligibility and calculate the minimum distribution amount		•				
13.	Ability to determine all information about the member/retiree/beneficiary when notified of death		•				
14.	Ability to display a payment (e.g., check, EFT, debit card) summary and/or payment detail pertaining to each death benefit payment		•				
15.	Ability to display appropriate beneficiary information for all beneficiaries (e.g., last named beneficiaries/survivor annuitant on file, associated percentages, identification of multiple beneficiaries, beneficiary's/survivor annuitant's relationship to member, separate accounts, etc.)		•				
16.	Ability to handle the pro-rating of various benefits and deductions (e.g., medical, tax levy, child support, etc.) based on the date of death		•				
17.	Ability to identify if the deceased member had a previous benefit/frozen annuity and process in accordance with plan provisions		•				
18.	Ability to identify if the deceased member previously retired, received a retirement benefit, and then returned to service, and process in accordance with plan provisions		•				
19.	Ability to identify the benefit(s) (i.e., survivor annuity or pension account balance refund) established by the member and route the death benefit work request to the appropriate queue		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
20.	Ability to identify where there are multiple payees (e.g., beneficiary, next-of-kin, survivor annuitant, etc.) and process separately, tracking the information ETF is waiting for from each beneficiary, and authorizing payment to those who have returned all necessary information while holding payment to payees whose information remains incomplete		•				
21.	Ability to preclude or prevent tax reporting number of the death beneficiary from being the same as the member's when such a distribution is required		•				
22.	Ability to process death benefits according to specific "death in service" plan provisions		•				
23.	Ability to process multiple payments to multiple financial institutions in one transaction		•				
24.	Ability to process separate death benefits, possibly according to different processing rules, in cases where the deceased was receiving more than one monthly benefit payment		•				
25.	Ability to provide a Web utility for employers to electronically report the information currently reported on a Notification of Death form (e.g., deceased member's name, date of death, unreported earnings, employer name, employer number, accumulated sick leave, etc.)	•	•				
26.	Ability to re-calculate the death benefit and perform appropriate communication when new information is received		•				
27.	Ability to re-calculate the distribution of the death benefit in the event a beneficiary pre-deceases the member or a beneficiary waives the benefit		•				
28.	Ability to receive notification of death in various ways (Notification of Death form, phone, correspondence, returned check, Web utility, etc.), standardize the content, and automatically trigger the appropriate workflow request(s)	•	•				
29.	Ability to reverse a death entered in error; reinstate a payroll record removed in error without interrupting monthly payments or pay the benefit payments that were missed prior to the reversal (i.e., "catch up")		•				
30.	Ability to standardize the content, information, and format on a notification of death whether received through a standard ETF form, phone call, or Web utility	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
31.	Ability to store a summary transaction of the death events ("dead", payment made, payment amount, payee for each, etc.) based on detailed account transactions		•				
32.	Ability to support the handling of member death payments where there are multiple payments to be issued		•				
33.	Ability to suspend a specific process and generate a work request to Death Process for processing		•				
34.	Ability to track account status as a work item is routed from processor to reviewer and back		•				
35.	Ability to trigger automatic reminder to user if the Estimated Death Benefit correspondence is not sent out within a specified number of days of the death of date notification		•				
36.	Ability to automatically determine when it is appropriate to update the tax files when a reimbursement amount (for benefits paid after date of death) is deducted (and paid) from a death benefit, and when it **is** appropriate, to update the tax files accordingly		•				
37.	Ability to provide automated processes to ensure that the total paid to all beneficiaries is equivalent to the total calculated death benefit, less any member overpayments or amounts due.		•				
38.	Ability to calculate and manage consequences of credit of military service		•				
39.	Ability to capture and display the accounts receivable and payable balances of the deceased as of the date of death		•				
40.	Ability to automate the request for records from and offset any fees to any external source (and establish the appropriate receivable(s))			•			
41.	Ability to issue a specified payment amount (with or without interest) to one or more recipients as the result of a hearing decision		•				
42.	Ability to automatically process beneficiary payment changes due to retroactive adjustments to a deceased benefit recipient's account		•				
43.	Ability to automatically stop/hold monthly benefit payment if date of death precedes payment date, and record the stop/hold on the account level so that staff processing the account are aware of the stop/hold	•	•				
44.	Ability to automatically initiate death processing when an employer reports a death transaction for an employee		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
45.	Ability to automatically identify and appropriately follow up on accounts of deceased members for which a death estimate was prepared but no further action occurred		•				
46.	Ability to process and pay death benefits remaining after a beneficiary or named survivor dies		•				
	OUTPUTS						
47.	Ability to automatically create a system-generated payment correspondence and corresponding notification to other interested parties (including Wisconsin Deferred Compensation)		•				
48.	Ability to determine that benefit payments for the month of death and/or subsequent months were not returned and if so, generate correspondence requesting reimbursement; alternatively, deduct the amount of benefits paid after death from the death benefit		•				
49.	Ability to generate a payment advice for each death benefit payment		•				
50.	Ability to generate an Acknowledgement correspondence when a death notification (and other documents) is received and contact person information is available		•				
51.	Ability to automatically maintain the state of a spousal beneficiary designation, to process it appropriately, and generate appropriate related correspondence		•				
52.	Ability to automatically determine and communicate appropriately the death benefit application deadlines and options for each beneficiary	•	•				
53.	Ability to generate a death benefit overpayment correspondence when applicable		•				
54.	Ability to automatically (with automated periodic reminders as necessary) generate an Estimated Death Benefit correspondence to include the estimated death benefit amount, beneficiary/survivor annuitant information, what is needed to process the benefit payment (i.e., payment application, etc.); automatically include appropriate forms based on situation (e.g., rollover form, annuity election form, etc.), and appropriate warnings and explanations of necessary steps in processing and payment	•	•				
55.	Ability to allow all confirmed beneficiaries or survivors who do not yet have accounts with ETF to set up a means of electronic communication once their identities and rights have been confirmed – prior to payment of the death benefit	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
56.	Ability to recognize if contact person information was entered at the time of notification, and if not, automatically generate correspondence to the beneficiary(ies) and/or the estate of the deceased requesting information about the contact person and/or the legal representative		•				
57.	Ability to send correspondence and/or payments to addresses other than those on permanent file, including sending copies of correspondence to multiple recipients (and keep records of same)		•				
58.	Ability to identify and track part or all of the benefit payment until payment is claimed (typically in the case of multiple beneficiaries who are found/validated at different times)		•				
59.	Ability to automatically exchange information with a third party benefit administrator (e.g., notification of death and/or beneficiaries) as part of the death processing		•				
	CONTROL						
60.	Ability to "freeze" account in the event of a contested death benefit		•				
61.	Ability to identify if a benefit application was filed prior to the member's death, and if so, trigger appropriate workflow (and set the item as high priority)		•				
62.	Ability to track returned benefit payments (in the case of a death) in accordance with ETF business rules		•				
63.	Ability to limit options on a death benefit based on business rules (e.g., no joint survivor for non-annuitant death or restricted to monthly or lump sum for annuitant deaths)		•				

E.4.1.10 DEFERRED COMPENSATION

The section outlines requirements for deferred compensation. Our assumption throughout this set of requirements is that the information required to administer deferred compensation accounts for WRS members is retained by the TPA as part of their contract with the Deferred Compensation Board. Employers convey members' deferrals (contributions) directly to the TPA, and ETF's role is only to draw on the information in the TPA's database to gather account information (balance, beneficiaries, contributions, etc.) for presentation. The exception is that members with DC accounts should be able to name and change beneficiaries and other such demographic information from the ETF web portal and (should ETF have two DC administrators with both of whom members might have

accounts) to permit transfers of monies from one account to another through an ETF-administered interface.

Table 51 Functional Requirements for Deferred Compensation

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to record and maintain deferred compensation enrollment information (accounts, deferral amount, provider, enrollment with multiple providers, investment options, effective date, etc.)		•				
2.	Ability to record and maintain employer information, including employer resolutions for inclusion (DB plan, other 457)		•				
3.	Ability to record and maintain deferred compensation provider information (name, address, contacts, phone numbers, emails, etc.)		•				
4.	Ability to record and maintain information for deferred compensation investment options (name, address, contacts, email, phone numbers, etc.)		•				
5.	Ability to designate and manage beneficiaries (through the BAS designation of beneficiary interface) within the TPS's system and provide access to that information via the BAS interface	•	•				
	PROCESSES						
6.	Ability to remove a TPA and replace with a new TPA and update member records		•				
7.	Ability to receive information referring to deferred compensation accounts reported by employers		•				
8.	Ability to track pending transfers between two providers and use workflow to provide automatic reminders; and generate correspondence to each provider until transfer is complete			•			
9.	Ability to handle automatic enrollment in deferred compensation; and send confirmation that members are in-fact enrolled; track their "option-out" window via workflow		•				
10.	Ability to monitor contribution limits based on system parameters (age, IRS-limits, etc.) These parameters are to be table-driven with effective dates. System should generate correspondence n-months prior to an individual reaching those limits.		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
11.	Ability to track unforeseen emergency withdrawal or "hardship requests" and record their status, distribution amount, distribution date, and monitor that they cannot return to Deferred Compensation within six months from distribution date			•			
	OUTPUTS						
12.	Ability to generate deferred compensation employer reports based on their deferred compensation pay period reporting			•			
13.	Ability to generate correspondence to terminating members notifying them of their account distribution options		•				
14.	Ability to acquire and display member and employer account information from TPA based on authorized queries of the TPA database		•				
15.	Ability to automatically inform TPA of member termination date(s) and of member deaths		•				
	CONTROL						
16.	Ability to record transfers between two providers, including transfer from, transfer to, date and amount			•			
	METRICS						
17.	Ability to provide statistical reporting about deferred compensation information (i.e. participant counts, amounts transferred, etc.)		•				

E.4.1.11 DISABILITY

The section outlines requirements for disability tracking and processing. ETF has four disability programs which we briefly describe below. Further discussion of the history of these programs can be found in Sections B.1.1.1 and B.1.1.2.5 while a full discussion of the business scenarios that apply to Disability, the business rules and the Business Calculations appears in Appendix E.21.

The four disability programs are:

1. **Income Continuation Insurance (ICI) (§40.61, §40.62 and § ETF 50.10)** is available on a voluntary basis to all state employees and to local government employees whose employer offers the program. It provides replacement income for disabilities that are considered short term in nature, but may last for extended periods. ICI benefits will not duplicate other benefits available to the individual, such as Social Security, Worker's Compensation, Unemployment

Compensation, other WRS benefits, etc. Individuals are required to pay duplicate benefits back to the ICI program. The ICI Program is currently administered by a Third Party Administrator.

2. **Disability Retirement Annuity (§40.63)** benefits are available to all WRS employees who have been continuously employed by a WRS employer since before October 16, 1992. This benefit is available up until the individual's normal retirement age. An individual must be totally disabled by a mental or physical impairment, which is likely to be of an indefinite duration.
3. **Long-Term Disability Insurance (LTDI) (§ ETF 50.40)** is available to all WRS employees who have been employed on or after October 16, 1992 (and those employed earlier if they elect to give up rights to §40.63 benefits). Depending on the individual's age when applying for LTDI, the benefit may be available beyond normal retirement age. An individual must be totally disabled by a mental or physical impairment, which is likely to be of an indefinite duration. LTDI benefits may be reduced upon receipt of, or eligibility for, certain WRS annuity or lump sum benefits. The LTDI Program is currently administered by a Third Party Administrator.
4. **Duty Disability Benefits (§ 40.65 and § ETF 52)** is an income replacement program that is available to all WRS protective occupation participants, such as police officers, fire fighters and correctional officers. This benefit is completely funded by the employer. The individual must be permanently disabled by a work-related injury or disease and can no longer work full protective duty. Income from a variety of sources reduces Duty Disability benefits.

ETF requires the functionality to coordinate these disability benefits with each other and with other income/benefits paid or payable to the recipient. In addition, we expect that the management of all aspects of disability, from application through award or denial (including the appeals process) – and the appropriate and correct calculation of the monthly benefits (including all offsets) to be managed in "case" fashion. That is, there will be a single workflow work item that can be followed from start (application for benefit) to finish (award or denial and any subsequent appeals), rather than multiple successive cases that must be linked together to view the entire case history.

Table 52 Functional Requirements for Disability

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture an ETF denial, cancellation, approval, etc., of benefit type and denial type for the case		•				
2.	Ability to capture and track benefit adjustment amounts, accounts, dates, UserID, and justifications associated with the adjustment		•				
3.	Ability to capture, track, and display status, change in status, date of change in status, and UserID for each step in the review	•	•				
4.	Ability to capture information from any disability application, including application type(s)	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
5.	Ability to automatically record receipt of application for disability benefits, physician's medical report, earnings statement, tax returns, marital status, appeals, and other disability related documents, etc.	•	•				
6.	Ability to automatically capture from external entities (e.g., Workers' Compensation, Unemployment Insurance, and SSA) data that affects the process, the determination, and the benefit calculation and use it appropriately in the processing of the disability application and in the calculation formulae (e.g., accident report, SSA award and offset, Worker's Comp amount)		•				
7.	Ability to provide flexible application to accommodate new legislation and dynamically add new plans, relating them to the section of the law that governs	•	•				
	PROCESSES						
8.	Ability to automatically calculate overpayments and underpayments for disability benefits based upon date of death and the business rules for various programs and automatically recover those overpayments from insurance benefits, if possible		•				
9.	Ability to update disability benefit accounts, when applicable, with salary indexing and offset adjustment requirements based upon program business rules		•				
10.	Ability to provide in-process alerts (during calculation of benefits other than disability) of the impact, based on business rules, that providing those other benefits (e.g., effective dates and/or actual benefits) will have on the disability benefits that the member is receiving		•				
11.	Ability to automatically calculate, track, and report on coordination of benefits across all programs (e.g., Separation, Long Term Disability, …) based upon business rules so benefits are paid correctly		•				
12.	Ability to automatically coordinate health and life insurance eligibility with the application for and/or approval of disability benefits and initiate appropriate follow-up action		•				
13.	Ability to automatically calculate and show a detailed report of the initial calculation of benefits, the month-by-month retroactive payments and the ongoing monthly benefit, with all appropriate offsets and salary indexing applied with appropriate correspondence automatically generated and sent to the member		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
14.	Ability to maintain per account program attributes designating types of disability, requests required (by the program), (salary) indexing requirements, and types of potential future death benefits to be paid (all based on business rules)		•				
15.	Ability to pay multiple types of disability death benefits to a single account based on the business rules of the disability types §40.63 & §40.65 (1982 Law, 1988 Law, and Cancer Presumptive)		•				
16.	Ability to reconcile disability accounts (e.g., estimated annual payments vs. actual annual earnings), retain a history of the results of reconciliation, and report upon those results		•				
17.	Ability to report on, set-up, process, and change benefit type when the member qualifies for and elects to switch the type of benefit to be received		•				
18.	Ability to maintain an account attribute indicating that disability benefits were previously received and at least one of the benefits has ceased		•				
19.	Ability to calculate and display the correct maximum duration of benefits and also provide a member specific benefit end date	•	•				
20.	Ability to calculate and display the correct benefit elimination period end date based upon business rules and to allow for override features	•	•				
21.	Ability for physicians, hospitals, employers, etc., to submit disability information remotely from their office via a Web utility	•	•				
22.	Ability for user to “manually” (i.e., outside of workflow) adjust disability benefit amount and generate standardized correspondence of explanation to benefit recipients	•	•				
23.	Ability for user to “manually” (i.e., outside of workflow) suspend disability benefit payment and generate standardized correspondence of explanation to benefit recipient	•	•				
24.	Ability to automatically manage the medical recertification process (member notification, management of time periods, receipt of results of re-examination, etc.), and to take appropriate action upon receipt of results		•				
25.	Ability to automatically suspend disability benefit payments due to non-receipt of any required documentation, e.g., Annual earnings statement, medical recertification, by due date		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
26.	Ability for user to override automatic suspension of disability benefits due to non-receipt of any required documentation, e.g., Annual earnings statement, medical recertification, by due date		•				
27.	Ability for benefit recipient to view via the web the detail, status, and any required recipient (or employer) action pertaining to any application and/or benefit payment (or non-payment)	•	•				
28.	Ability to add and act upon appropriately new disability review status types		•				
29.	Ability to automatically produce correspondence notifying the member of excess earnings, the amount of the benefit reduction, and options for how to pay / reimburse ETF for any overpayment	•	•				
30.	Ability to recoup any overpayment due to excess earnings via a temporary reduction in monthly disability benefit amount, spread over a user-defined number of months		•				
31.	Ability to automatically record the result (approved, denied, pending, withdrawn, etc.) of the appeal and close the appeal		•				
32.	Ability to automatically change the class of rules governing a member' retirement (and communicate that change to the member) upon retiree attaining a specified age in accordance with plan provisions		•				
33.	Ability to act upon the results of a Board, DWD, or other decision		•				
34.	Ability to generate disability-related payroll adjustments and automatically generate communication of reason(s) to recipient	•	•				
35.	Ability to handle all tax related implications with respect to disability payments, overpayments and reimbursements		•				
36.	Ability to identify all payments made to disability benefit recipients, sorted or categorized by different codes such as type of disability, length of time on disability, etc.		•				
37.	Ability to automatically identify members, other applicants, or employers who have not responded to ETF's request for additional information and to act appropriately (and automatically)		•				
38.	Ability to provide a single disability summary screen, possibly with multiple tabs, containing all information desired by ETF users		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
39.	Ability to provide detailed tracking to ensure that eligible spouse, domestic partner, minor, etc., survivors receive payments through, but not beyond, their eligibility period in accordance with plan provisions and automatically inform the recipient of changes in their eligibility	•	•				
40.	Ability to restrict various sensitive information		•				
41.	Ability to make adjustments (either because of error or because of late receipt of required information to benefit reduction {such as suspension, reversal of suspension, etc.}) and automatically compute and generate “retro” payment and appropriate communication	•	•				
42.	Ability to automatically screen for benefit recipient and act upon that person’s benefit(s) in the event the recipient returns to work for a qualified employer.		•				
43.	Ability to track allowable earnings and compare with disability recipient’s earnings per annual earnings statement; if the recipient’s earnings are greater than allowable earnings, automatically halt or reduce the benefit amount by the difference and automatically generate appropriate communication	•	•				
44.	Ability to validate automatically that member meets the disability eligibility requirements (service, age, etc.)	•	•				
45.	Ability to ensure that disability benefit calculations take into account final contributions and include any benefit adjustments, that occurred during the period from the effective disability date to the date that the benefit is determined		•				
46.	Ability to create a process that manages the disability-related records (e.g., medical, employer) acquisition process		•				
47.	Ability to automate management of the process used in “return to work” (from a disability)		•				
48.	Ability to generate benefit estimates for multiple types of benefit plans in order to provide a comparison of the benefit options		•				
49.	Ability to track, report on, and make payments for medical costs incurred as part of disability determination	•	•				
50.	Ability to track income of disability recipients and suspend benefits when earnings limit is exceeded		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
51.	Ability to automatically reinstate suspended disability benefits and withholding and appropriately apply benefit adjustments (in other words, make the account whole) at end of mandated and/or recovery period – as appropriate		•				
52.	Ability to compute earnings limitations		•				
53.	Ability to automatically have notification sent to disability staff when someone returns to work		•				
54.	Ability to automatically calculate appropriate offsets, overpayments, and underpayments for disability benefits based upon business rules and issue correspondence reflecting the revised disability benefits to be paid		•				
55.	Ability to automatically, after annual disability benefit adjustment, recalculate the appropriate offset for returning to work and generate appropriate correspondence reflecting the revised disability benefits to be paid		•				
56.	Ability to allow benefit recipients to report earnings through the web application, and have the system automatically complete the offset or suspend benefit based upon business rules and generate correspondence showing results	•	•				
57.	Ability to adjust disability benefits when a benefit recipient terminates one of their disability benefits due to returning to work or having received medical documentation that a person is no longer meeting the definition of disability for a particular program and to generate correspondence showing results		•				
58.	Ability to adjust disability benefits by an estimated earnings amount in cases where an individual is medically released to return to work, but does not, and generate appropriate correspondence showing results		•				
59.	Ability to maintain at least one “ER Agent” per employer, to assign such agents to members as required, and to retrieve and use that assignment and the contact information for the ER Agent as appropriate, e.g., while working with disability benefits		•				
60.	Ability to indicate in a member account record that (at least two types of) information release forms have been filed by the member, that the indicated permissions have not expired, and to retrieve and view the indicated forms	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	OUTPUTS						
61.	Ability to account for, track, and report on estimated offsets when the member has neglected to apply for other benefits for which they may be or are eligible, e.g., Social Security		•				
62.	Ability to track and report on ETF referrals of benefit recipients to other organizations for services (DVR, Allsup, SSDC, etc.) and the costs associated with those services		•				
63.	Ability to track and respond accordingly to the status of SSDI (Disability Insurance) applications (SSDI impacts benefits in a different way from that of SS Retirement).	•	•				
64.	Ability to view member coverage (including coverage details such as the elimination period) for optional programs (e.g., ICI)	•	•				
65.	Ability to provide "What-If" scenarios to disability recipients using actual data from the recipients' records within a secured page (other earnings offsets, earnings limitations, apply for retirement, etc.) to show the actual results to the member's various disability benefits and the new benefit composition	•	•				
66.	Ability to automatically generate reports identifying disability applications/cases and information therein to be presented to ETF's board and ETF's actuary		•				
67.	Ability to automatically generate and send follow-up correspondence: n Regarding non-receipt of recertification form a specified number of days after the form was sent (include copy of medical recertification form) n If annual earnings statement form has not been received a specified number of days after the form was sent (include copy of earnings statement form) n And a marital status form, with a due date, to spouse survivors requesting certification of marital status a specified number of months prior to review date n Etc. annually or as needed		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
68.	Ability to automatically gather information from the system in order to generate a summary "Appeal Fact Sheet" for an appeal write-up (name, Social Security number, date of birth, employment history, retirement information and payment history, if applicable)			•			
69.	Ability to automatically generate a report listing history of appeals: member, type, date received, date presented for review, decision (grant, deny, tabled-need flag, etc.), date presented to Board, etc.		•				
70.	Ability to manage a request for LTDI and/or §40.63 disability benefit estimate	•	•				
71.	Ability to generate annual earnings statement form, with cover correspondence stating due date for return, to all applicable disability annuitants under a specified age		•				
72.	Ability to generate correspondence explaining retro payments		•				
73.	Ability to generate correspondence to member and employer either denying, disapproving or approving disability benefits, including effective date (and any other information) as applicable		•				
74.	Ability to generate correspondence to member either denying or granting request for appeal		•				
75.	Ability to generate correspondence to member regarding choice of disability or regular retirement showing calculation figures and other information to assist with the decision		•				
76.	Ability to capture data related to return to work and provide information to the disability recipient		•				
77.	Ability to produce various disability denial correspondence including reasons		•				
78.	Ability, if disability claim is denied and member is eligible for regular retirement or separation, to generate appropriate correspondence to member and employer with follow-ups to both automatically		•				
79.	Ability to provide correspondence to the member to inform him/her of the comparison between disability and other benefits	•	•				
80.	Ability to track income of disability benefit recipients and warn of possible benefit suspension when limit is neared	•	•				
81.	Ability to automatically initiate appropriate activities when a disability benefit is terminated and generate correspondence to benefit recipient that benefit is terminated		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	CONTROL						
82.	Ability to validate that member is not on pension payroll nor is in the process of applying for retirement when filing for a disability claim		•				
83.	Ability to determine if a member has ever applied for a disability retirement and if so, to assign a new application to member of staff who managed the previous application		•				
84.	Ability to determine if a member has applied for a disability hearing, the status of that application, and the result(s) of the hearing(s)		•				
85.	Ability to create and maintain a receivable for overpaid disability benefits upon re-employment and/or upon exceeding the legal earnings limitations		•				
	METRICS						
86.	Ability to calculate, apply, and separately track and report on the 7% LTDI contributions that are posted into the member WRS retirement accounts		•				
87.	Ability to track and report on actual, assumed (up to normal retirement age), and additional credited service in relation to disability benefits		•				
88.	Ability to capture the cost (including independent medical examination, cost of medical records, and medical boards) of each application		•				
89.	Ability, for all application types, to count and report on the various decision types, application types, etc.		•				
90.	Ability to capture the data to subsequently, quickly respond to FOIL requests about characteristics of disability applications, disability applicants, doctors, etc.		•				
91.	Ability to offer periodic surveys related to disability claims and report on the results to improve customer service	•	•				
92.	Ability to obtain a variety of reports (i.e. gross earnings for a specified period of time by employer, # of members with an earnings offset, type of benefits being received, etc.)		•				

E.4.1.12 EMPLOYER REPORTING

ETF requires that the employer reporting portal implemented in the new solution have extensive opportunity for user interaction with respect to employer personnel involved in the reporting process and the information they provide and process. ETF's objective is to have employers report the necessary data, have them respond to validation errors as they occur, clean or correct the data as necessary, and queue the information for posting. To the extent that any requirement below is not checked as "Exposed via Web," and such functionality accommodates or addresses the general expectations for employer interaction, such requirements are expected to be included in the scope of functionality made available to employers through the portal site. **The proposed solution must be able to capture, store and retrieve from participating employers all service and salary information for members and non-members.**

As can be seen in Appendix E.6 to this RFP, there is a broad range in workforce size among ETF's employer community. Because of that, ETF doubts that a single style of interface will suffice in providing the most customer-friendly employer reporting capability. In their response to this section of the RFP, the vendor must describe the flexible approach taken by their proposed employer reporting solution and explain how it meets the needs of both very small and very large employers.

Note that throughout the requirements outlined below, references to Wage and Contribution reports should be taken to mean the periodic (typically bi-weekly or monthly) reports submitted by ETF's employers. While referred to as Wage and Contribution or Earnings and Contribution reports, they may in fact contain much more than just Wage and Contribution data. In that context, note also that Contributions include member contributions and any withholding of service purchases, arrears, etc., that the employer may have done on ETF's behalf. Note as well that the term "service," or "service credit" wherever it appears, should be interpreted to mean the number of hours the employer reports for the period of time covered by the Employer Report. The BAS will convert the hours to service.

Table 53 Functional Requirements for Employer Reporting

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to accept electronic payments (via both push - ACH and pull - automatic withdrawal) from employers		•				
2.	Ability to accept various secure forms of media (file transfer, Web, etc.) containing member data submitted by employers	•	•				
3.	Ability to capture a member's hire date, last earnings date, and termination date from employer reports	•	•				
4.	Ability to capture staff and/or employer comments or notes regarding employer-related information (e.g., delinquencies, transactions) as part of data file	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
5.	Ability to capture comments or notes regarding specific employer delinquencies	•	•				
6.	Ability to capture historical rates and factors with effective dates so that retroactive calculations use the appropriate figures		•				
7.	Ability to capture user-defined parameters for calculating employer penalties, service charges, and interest charges relating to late reports / remittances		•				
8.	Ability to capture user-defined rules to validate employer data	•	•				
9.	Ability to capture user- or employer-maintainable parameters (complete with a history of any changes) to control service credit allocation based on hours worked and member's employment category on a per-employer basis	•	•				
10.	Ability to capture user-maintained tables for employer and employee contribution rates, each rate having a corresponding effective date		•				
11.	Ability to capture, track, and report member personnel status codes (Hire Date, Re-Hire, Employment and contribution categories, Leave Without Pay, Terminate, Suspension, etc.) from employer reports (as well as "manual" user input); must include capture and tracking of status code start / end dates		•				
12.	Ability to provide several industry-standard methods of submitting member data by employers, such as FTP and the Web, as well as conventional unattended processing of delivered media	•	•				
13.	Ability to capture employer demographic information and updates, including ETF employer number, multiple contacts, multiple addresses, multiple email addresses, and other pertinent information through the employer web self-service functions.	•	•				
14.	Ability to assign ETF-created identification codes and pay-period dates to each component of compensation as reported in an employer's report, (e.g., Base Salary might be Code 1001, Overtime Code 1002, Arrears Payment 1009, …)	•	•				
15.	Ability to capture information (e.g., questions asked, answers provided) from employer seminars and to share that information with others	•	•				
16.	Ability to communicate with employers through various ECM mechanisms (email, portal, hardcopy, etc.)	•	•				
17.	Ability to capture, act upon, and report against employer requests for plan information, costs, participation	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
18.	Ability to flag, and take appropriate follow-up action for employers and/or individual members (employees) who are not in compliance with ETF regulations	•	•				
19.	Ability for authorized user to input and maintain plan-specific data, such as billing rates, inflation factors, etc.		•				
20.	Ability to permit both participating and non-participating employers to electronically submit employee demographic and other data	•	•				
21.	Ability to capture all aspects of a member's USERRA-related status, i.e., departure on a military-related leave of absence, return from same, contributions paid during that leave, etc.		•				
	PROCESSES						
22.	Ability to check employer entry and termination dates against employee service records to insure that service credited is within the participation period of the employer		•				
23.	Ability to post (when there are individual records with errors) all the validated member records and suspend those member records containing errors and generate a report and save for later repair; OR ability to capture changeable threshold parameters based on the number of errors encountered; X records with errors prevents posting of the entire report; Y prevents only erroneous records from posting; a user (not programmer) maintained parameter is required	•	•				
24.	Ability to accommodate employer-reported data adjustments to prior periods as well as information for the current period; adjustments must be "post-able" at either the employer level or the employee level, whichever is appropriate for the type of adjustment being submitted	•	•				
25.	Ability to accommodate multiple employment status codes (full-time salary, full-time hourly, part-time salary, part-time hourly, part-time per diem, etc.) for a member employed by one employer or multiple employers		•				
26.	Ability to accommodate those cases where the employer reports adjustments for specific individuals over an extended period of time (example: John Doe should have been reported with $50 contributions and not $40 for the past 24 months; thus $10 will continue to be reported as an adjustment over the next 24 months)	•	•				
27.	Ability to accommodate variances resulting from a member's working simultaneously for multiple employers (e.g., handling reported hours vs. reported days, part-time vs. full-time)	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
28.	Ability to allow employers, on-line or via Web application, to enter termination dates, unpaid leave dates, last year of service, etc.	•	•				
29.	Ability to apply cash receipts or disbursements to outstanding employer and member receivables and payables in an automatic manner		•				
30.	Ability to apply deduction so identified in the wage and contribution report against predefined purchase of service balances and pro-rate credit accordingly		•				
31.	Ability to assign an “effective” period(s) to employer submitted data		•				
32.	Ability to automatically calculate the contribution that is due from the employer by contribution type and by plan type and provide a summary of amounts due by each type identified		•				
33.	Ability to automatically create appropriate general ledger transactions for employer payment receipts (e.g., monthly remittance of contributions) and disbursements (e.g., credit of employer overpayments).		•				
34.	Ability to automatically scan employer reporting transmissions (and media) for viruses prior to processing the report		•				
35.	Ability to automatically trigger appropriate workflow if an employer reported adjustment is received for someone who has terminated/refunded (to address any overpayment / underpayment of refund)		•				
36.	Ability to calculate and track penalties, service charges, and interest applicable to both late reports and late remittances from employer		•				
37.	Ability to classify employer data errors according to their severity (with posting of data permitted for less severe conditions, but posting suspended for critical errors)	•	•				
38.	Ability to confirm that employer remittance was received within a specified number of days of reporting period end date	•	•				
39.	Ability to correct all employer-reported data by manual entry, providing an audit trail of all such corrections	•	•				
40.	Ability to create and delete or edit individual records within the employer data file subject to ETF internal audit controls, limited to specific users (with an audit trail)	•	•				
41.	Ability to create appropriate general ledger debit and credit memos for differences and corrections in employer reports		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
42.	Ability to display any adjustment made in employee's earnings, contributions, and service and display those adjustments at both the summary level and the detailed transaction level	•	•				
43.	Ability to electronically interface with multiple banks and accounts containing daily information for employer remittance lockbox deposits or ACH deposits		•				
44.	Ability to flag and investigate members with suspect withholdings, earnings, and service credit		•				
45.	Ability to automatically communicate information (such as delinquent reporting) to employers via email or Web	•	•				
46.	Ability to issue credit to employer that reports employer and/or employee contributions paid for a non-qualifying employee		•				
47.	Ability to maintain the data relationship between the employer and member		•				
48.	Ability to calculate year-to-date balances of total employer and employee contributions for each employer		•				
49.	Ability to merge employers, combining data from old employers into the new employer, but retaining the ability to query on historical data from the old employer		•				
50.	Ability to process employer submitted information (earnings, contributions, and hours) with various reporting frequencies	•	•				
51.	Ability to provide a real-time processing, validation, and error reporting of employer reports including real-time summary, reconciliation, and out-of balance notifications of any data file received from an employer, including data file totals and number of detail records	•	•				
52.	Ability to provide an edit for concurrent time (i.e., an employee contributing for multiple employers) and prompt the user to check further into the circumstances		•				
53.	Ability to provide appropriate validations to ensure that reported hours is consistent with reported earnings, and that both are properly posted to the member's account		•				
54.	Ability to provide front-end validation that only one period of earnings and hours is being reported or ability to accept employer report covering adjustments to prior periods (while also performing validation checks on the effect of the adjustment)	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
55.	Ability to provide front-end validations on SSNs, employer numbers, duplicate names, blank fields, negative numbers, dates, total hours, etc.	•	•				
56.	Ability to provide front-end validations to determine whether reporting dates have already been posted on a member level, and if so, alert user to investigate	•	•				
57.	Ability to provide fully Web-enabled employer "self-service" in submitting data, receiving feedback on the validity of that data, and making needed corrections with near 24x7 availability	•	•				
58.	Ability to reconcile the total amount of member contributions and employer portions plus any adjustments to the total remittance made by the employer		•				
59.	Ability to re-execute data validations and re-calculate data file totals after a correction is made or records have been created or deleted, subject to ETF internal audit controls		•				
60.	Ability to retrieve and review prior employer reports as reported by the employer including the means and media by which it was reported		•				
61.	Ability to reverse the processing of employer reports that were submitted by an employer in error – with an appropriate audit trail		•				
62.	Ability to split employers, appropriately allocating / segregating employee data between the two new employers, but retaining the ability to query on all historical data from the "original" (pre-split) employer		•				
63.	Ability to support a fully defined and structured reporting format regardless of the method (and media, if necessary) of delivery	•	•				
64.	Ability to support and track all pertinent dates relating to employer reports: date submitted, date validated, date accepted by ETF, date processed/posted and date paid		•				
65.	Ability to support controlled future dating of submitted / posted data	•	•				
66.	Ability to support the lowest level of detail in the member account based on various employer reporting frequencies, e.g., weekly, bi-weekly, semi-monthly, and monthly		•				
67.	Ability to support the processing of multiple employer reporting transactions for a given person in a given time period to handle standard pay, overtime, extra-curricular, etc.	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
68.	Ability to tie contributions posted to the system to a payroll period ending date and update employee earnings history for the appropriate month and year		•				
69.	Ability to track received, processed and unprocessed employer data files	•	•				
70.	Ability to validate and post service credit if member hours, earnings and contributions are reported	•	•				
71.	Ability to validate reported data against tables of employer and employee contribution rates based on matching payroll dates with the effective date of the contribution rate	•	•				
72.	Ability to calculate multiple types of service credit (e.g., qualifying service, member service) using various service-crediting rules, based on the reported service-related data		•				
73.	Ability to recognize that an employee is enrolled with ETF before accepting member wage and/or contribution data from that employer, while retaining the ability to identify new members (and automatically take appropriate action) when first reported by an employer	•	•				
74.	Ability to provide a crosswalk that maps the old and new employer name and number; in the case of merged employers or split employers		•				
75.	Ability to support the real-time posting of valid employer wage and contribution data to the member's account by the employer without intervention by ETF personnel	•	•				
76.	Ability to provide employer self-service capabilities that allow updates (including retroactive changes) to member contribution and wage related data	•	•				
77.	Ability to allow member enrollment by the employer via employer self-service either through submission of initial wage and contribution data or through a separate employer self-service member enrollment process.	•	•				
78.	Ability to include the submission of updated member demographic data through the web wage and contribution filing process, and under control of applicable business rules, automatically update member demographic information previously submitted (e.g., address, phone number)	•	•				
79.	The ability to provide a testing and training area for the web self service functions and reporting requirements of the employer, including testing to ensure competence in reporting abilities.	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
80.	The ability to provide employer reporting web self-service features to support both the smallest employer and the largest (e.g. data file upload and validation, on-line data entry, and pre-population of reports based on previous month submission, etc.)	•	•				
81.	The ability for employers to access the forms library via the web and prefill when logged into the secure site.	•	•				
82.	Ability to replace paper forms with web-based equivalent where possible	•	•				
83.	Ability to include an on-line “employer community” facility to permit employers to communicate with / ask questions of / provide answers to each other	•	•				
84.	Ability to include a wage and contribution file format consistent with ETF defined specifications		•				
85.	Ability to, based on pay-period date associated with a specific component of an employee compensation, assign the monies to a specific (often historical) timeframe and credit the member accordingly	•	•				
86.	Ability to identify deficiencies on a timely basis (on a real time basis) in employer reporting	•	•				
87.	Ability to accept and retain reported earnings, demographic, etc., data for all persons on the employer’s payroll	•	•				
88.	With respect to billing, ability to automatically calculate the employer's initial amortization schedule, and subsequent pay-offs, pay-ups, and pay-downs.	•	•				
89.	Ability to have a fully web-enabled, employer-specific plan cost calculator, including actuarial computation of prior service costs	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
90.	Ability to automatically calculate and create the periodic (as well as on demand) employer invoices including at least the following; n Prior year adjustment n Contributions (based on actual and/or projected earnings) n Reconciliation n Amortizations (e.g. past service cost, deficiency, etc.) n Credits n Incentives n Etc.	•	•				
91.	Ability to automatically calculate and create special invoices for payments such as: n Police and Fire n Pay-offs n Pay-ups n Pay-downs n Etc.	•	•				
92.	Ability to adjust the periodic and special invoices to respond to future special legislation, such adjustment to be parameterized such that the modifications can be accomplished by business analysts, not IT resources		•				
93.	Ability to handle flexible payment schedules		•				
94.	Ability to un-apply a cash receipt.		•				
95.	Ability to calculate and apply delinquent interest and have override of same	•	•				
96.	Ability to recalculate an invoice based on a revision / adjustment of the employer or employee record	•	•				
97.	Ability (for both ETF and employers) to query and report on financial information for an employer to include all appropriate financial data, e.g., amounts paid, amounts outstanding, interest adjustments	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
98.	Ability to automatically add new employers and plans/programs to the system and to change the plans/programs associated with new and existing employers (including the ability to bound the plan entry dates)	•	•				
99.	Ability to automatically calculate and communicate the cost of a new plan/program and, if adopted, to create or update the appropriate employer record(s) (and any applicable employee records), create appropriate amortization information, invoice and affidavit	•	•				
100.	Ability to automatically retrieve plan data, employer data, member data, etc., (including actuarial projections as appropriate) in automated calculation of cost of plan improvements and initial participation and to integrate that calculation into an automated approval, communication, and possible adoption process		•				
	OUTPUTS						
101.	Ability to automatically generate a report identifying the employer reports received, employer reports not received, dates when employer reports were received, amounts received and any $ differences due; automatically notify one or more contacts within the agency that the report is available and can be viewed on-line	•	•				
102.	Ability to automatically generate penalty and/or interest correspondence / invoices to employers based on late report / late remittance	•	•				
103.	Ability to generate correspondence to employer and employee regarding any adjustment made by ETF staff to earnings, contributions, and service	•	•				
104.	Ability to generate a report of the status of receivables for employee and employer contributions on demand, available to both ETF staff and to employers, including an aging of delinquencies	•	•				
105.	Ability to generate a report presenting summaries of exceptions (unprocessed entries) for each employer that will need to be corrected, including the ability to re-generate the report after corrections have been made	•	•				
106.	Ability to generate an employer statement showing unpaid monthly charges identified by both prior and current periods, as well as any cash receipt not applied	•	•				
107.	Ability to automatically generate correspondence to employers notifying them of corrections they need to make on their next report	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
108.	Ability to produce a report reflecting the employer's information reported to ETF showing current earnings, contributions, and change balances in the order in which the employer submitted the information	•	•				
109.	Ability to produce periodic Discrepancy Report comparing a member's current earnings with preceding period's and identify, by employer, members whose: (1) earnings are some specified percent higher than, or less than half of, previous period's earnings; (2) earnings are reported as zero, (3) Etc.	•	•				
110.	Ability to provide an on-line report of member's account history by employer by date range	•	•				
111.	Ability to accept positive or negative adjustment transactions received on an employer's report, and to automatically take action as appropriate		•				
112.	Ability for user or employer to generate a report indicating one or more member's name, Social Security number, contributions, interest, and service totals for any period	•	•				
113.	Ability to provide *Employer Annual Statements* to the Employers detailing their (service, contribution, and interest) by employee and in total	•	•				
114.	Ability to provide employers with a summary, sub-totals, etc. of customer statement information, limiting details as appropriate	•	•				
115.	The ability to build streaming video training functions into employer web self service	•	•				
116.	Ability to automatically generate a dunning notice to any employer who has not submitted the appropriate report based on the employer's reporting schedule	•	•				
117.	Ability to produce the appropriate system based GL journal entries related to the employer invoice payment.		•				
118.	Ability to automatically create an annual information (finances, ETF membership, etc.) statement for each ETF employer, i.e., GASB footnote	•	•				
119.	Ability to automatically generate plan cost quotation for employers, labor organizations, etc.		•				
120.	Ability to manage the limitation on compensation (reported earnings) imposed under IRS regulation IRC § 401(a)(17), on a calendar or fiscal year basis		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	CONTROL						
121.	Ability to associate member service with employer identification so that, for example, an employer can retrieve or generate reports on detail information only for information that employer submitted to a member record	•	•				
122.	Ability to match employer report to employer remittances and alert employer to mis-matches	•	•				
123.	Ability to notify user whenever employer reporting information is received for a person who has applied for retirement, received an initial benefit, or has had a final calculation of benefit performed		•				
124.	Ability to prevent invalid or duplicate data from posting to the member's account		•				
125.	Ability to compare a member's current period earnings and hours (as adjusted) to preceding periods and identifying, by employer, instances where the information submitted violates ETF business rules (e.g., earnings exceed an acceptable parameter; no earnings reported; no hours reported but required for plan, etc.) and communicate that to employer	•	•				
126.	Ability to provide an audit trail of any adjustments in earnings, contributions, or service made to a member's account, including the ability to detail a member's earnings, contributions, and service by employer throughout the system and the member's history		•				
127.	Ability to maintain payment schedule(s) unique to each employer that can be used to automatically generate follow-up notices to delinquent employers, create reports, etc., and ability to accept other unscheduled payments		•				
128.	Ability to schedule employer seminars and to track attendance at same	•	•				
129.	Ability to validate employer payments against employer invoices		•				
	METRICS						
130.	Ability to capture statistics about employer error and warning rates, to analyze trends and to share with employers (down to the level of the individual who made the errors)		•				

E.4.1.13 ENROLLMENT

ETF requires that functionality be in place that allows employers to enroll members via a Web portal. Subsequent to enrollment, maintenance of the member's demographic information is the responsibility of both the employer (as related to updated information submitted through the wage and contribution reporting process) and the members through their applicable portals. ETF understands that such joint responsibility for changes can sometimes result in multiple changes from one address to another and back again. The vendor must describe in their response how, in the vendor's experience, such multiple changes are managed or even prevented, e.g., through a flag or timing mechanism or through process refinement.

Vendors should also note that enrollment at ETF, as the requirements are laid out below, pertains to more than just a one-time enrollment in the retirement system. Members currently use myETF Benefits to perform annual enrollment in various other benefit plans. In addition, the current state includes members enrolling in health plans both through myETF Benefits and through their employers' Human Resources interfaces, e.g., PeopleSoft. In the latter instance, employers will want to submit electronic files containing enrollment information for multiple members – and ETF will want to ensure that all data for each member so submitted, is checked for correctness and completeness. Vendors, in their responses, are to ensure that electronic enrollment in the proposed BAS is defined (and supported) in its broadest sense.

Table 54 Functional Requirements for Enrollment

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture waiver information provided on a waiver form or Web utility (i.e., employer name, employer number)	•	•				
2.	Ability to capture the enrollment of new employees as a result of having been reported on the employer's report, distinguishing them from those reported who are not members as well as those returning to service, returning from a furlough, or returning from a leave of absence		•				
3.	Ability to communicate all invalid entries, particularly SSN, in "real-time" and edit / validate "real-time" corrections	•	•				
4.	Ability, upon enrolling a member who has the "same" SSN as an existing member, to correct any existing errors and enroll the new member		•				
5.	Ability to use a single point of entry for enrollment regardless of whether the individual involved is a new member enrollment or an existing account		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
6.	Ability to capture the member's health and other insurance plan choices such that members will be enrolled during enrollment periods	•	•				
7.	Ability to enroll new members as a consequence of their being reported by an employer and distinguish between those who are potential members and those who are not and to initiate appropriate follow-up processing	•	•				
8.	Ability to permit an employer to enroll a new employee via web-portal without having to wait for the first employer report	•	•				
9.	Ability for new employee to apply for health, life, and other insurance benefits through ETF's web portal.	•	•				
10.	Ability for either the employee or the employer to upload an imaged document into the system for ETF's review, when required by ETF's business rules (for example, birth certificate for proof of paternity).	•	•				
11.	Ability to identify when a subscriber or dependent has other health insurance coverage for the purpose of Coordination of Benefits.		•				
12.	Ability to utilize Medicare's Voluntary Data Sharing Agreement (VDSA) and other shared data sources and take appropriate follow-up action.		•				
13.	Ability to capture and process existing employee's insurance enrollment changes and to ensure appropriate validation is performed		•				
14.	Ability for ETF staff to flag an employee from enrolling for insurance coverage due to an appeals or fraud determination.		•				
15.	Ability to enroll a new employer's employees and credit them with prior service according to the terms of the new employer's agreement with ETF	•	•				
16.	Ability to capture updated member demographic information from a third party (health plan, life insurance provider, employer, NCOA, etc.) and update the member's record		•				
17.	Ability to capture for each employee benefit contribution withheld by an employer, whether that withholding was on a pre- or post-tax basis		•				
18.	Ability to capture an electronic file from employers for employees' enrollments and run each enrollment through eligibility business rules		•				
	PROCESSES						
19.	Ability to apply appropriate IRS enrollment rules for those employees whose benefit contributions and withheld on a pre-tax basis		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
20.	Ability for the employer to create, update, and display enrollment information (i.e., member demographics and employment information) provided from an enrollment form or Web utility	•	•				
21.	Ability to "enroll" new members who have been named in a QDRO, Domestic partnership, etc., so that additional information can be added to their account if they are not already members		•				
22.	Ability to assign and continue to use an established unique ID number for customers		•				
23.	Ability to assign / associate / validate members to their appropriate retirement plan and insurance coverages, corresponding contribution rate, coverage, and category based on eligibility rules		•				
24.	Ability to automatically set up a Web account for a new member and therefore provide access to his/her account and / or files via the Web through use of an ID and PIN numbers upon successful member enrollment	•	•				
25.	Ability to create, revise, maintain, inquire and display enrollment information (address, phone, employment information, etc.) with effective dates	•	•				
26.	Ability to enroll employees in program(s) from their first day of eligibility and then, if the employee opts out within the "opt out" period, take appropriate action		•				
27.	Ability to manually enroll a member outside of the control of workflow and of automatic enrollment through employer reporting process		•				
28.	Ability to provide an online Web utility that "walks" employers, employees, or ETF staff through an eligibility tool (e.g., automated, business rules driven questionnaire) so that membership eligibility can be verified, as well as the ability to track the usage of that feature (e.g., who, when, how often, etc.)	•	•				
29.	Ability to store and retrieve an incomplete enrollment and update the record once the additional information is received from either the member or employer		•				
30.	Ability to review enrollment information prior to the data being committed to the database	•	•				
31.	Ability to support different enrollment rules pertaining to different time periods and to accommodate members who are "grand-fathered" in based on those rules		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
32.	Ability to flag and track those individuals with special characteristics that are managed by ETF, e.g., Milwaukee County (MiLES and MECA)		•				
33.	Ability to update member demographic information while processing an enrollment	•	•				
34.	Ability to validate against enrollment eligibility requirements	•	•				
35.	Ability to validate against enrollment waiver eligibility requirements	•	•				
36.	Ability to track information regarding the member's classification or job group within the plan	•	•				
37.	Ability to determine when an employee's retirement status changes and flag both ETF and the employer about a potential change in benefit enrollment eligibility if appropriate action has not yet occurred (e.g., a graduate assistant becomes a WRS-covered employee or a WRS-covered employee retires)		•				
38.	Ability to ensure that when an employer erroneously enrolls a WRS member and subsequently rescinds that enrollment, the member account (should there be a prior record of service, etc.) remains complete and correct		•				
	OUTPUTS						
39.	Ability to generate appropriate Enrollment Waiver Acknowledgement correspondence	•	•				
40.	Ability to generate a pre-filled eligibility questionnaire to an employer and track the distribution, turn-around, and processing of that form		•				
41.	Ability to generate a pre-filled application and track the distribution, turn-around, and processing of that application	•	•				
42.	Ability to automatically generate correspondence to a member acknowledging receipt of any request submitted	•	•				
43.	Ability to generate correspondence for the approval or denial of benefit eligibility with distribution to both the employee and employer		•				
44.	Ability to generate and distribute the (preferably electronic) enrollment welcome packet (e.g., pre-filled cover / welcome correspondence, member handbook, enrollment application form, return to service form, beneficiary designation form, previously refunded service form, etc.) and personalize/customize the contents of the packet based on member status	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
45.	Ability to generate a report of all members without an enrollment application on file – and perform appropriate automatic follow-up	•	•				
46.	Ability to suspend processing of earnings and contributions for employees who are reported by the employer but for whom no enrollment information has been processed until the enrollment has been processed		•				
47.	Ability to produce statistical, demographic, and error information on all of the enrollments	•	•				
48.	Ability to flag (and take corrective action on) a member record if enrollment information is received for a benefit recipient or an individual who previously waived participation		•				
49.	Ability to automatically notify members 90 days prior to their 65th birthday (parameterized size this date may change) and annually thereafter of their eligibility for Medicare Parts A and B, whether we know that they are retiring or not.		•				
	CONTROL						
50.	Ability to identify and react appropriately when a member is earning salary, contributions, and service under more than one employer for the same period of time		•				
51.	Ability to identify duplicate names with the same or similar SSN and/or date of birth for staff intervention/validation then take appropriate steps to validate the SSN, e.g., eVerify, correspondence to the member, etc.		•				
52.	Ability to automatically identify duplicate SSN conditions and initiate processing for verification, validation, and correction		•				
53.	Ability to prevent an ineligible employee from enrolling for insurance benefits		•				
54.	Ability to prevent a member from enrolling for an insurance benefit if they are being investigated for fraud		•				
55.	Ability for business staff with appropriate security rights to set the start and end date for the annual open enrollment periods for various benefits (health insurance, life insurance, employee reimbursement account, etc.).		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	METRICS						
56.	Ability to validate incoming data formats from employer and other ETF affiliates (e.g. numeric, field size, physical file attributes, etc.)		•				
57.	Ability to report on open enrollment statistics.		•				
58.	Ability to report on insurance benefit enrollments based on population demographics, etc.		•				
59.	Ability to query against enrollment data for ad hoc queries.		•				

E.4.1.14 FLEXIBLE COMPENSATION

The section outlines requirements related to flexible compensation. The goal of this set of requirements is to assist in providing customers with a complete view of all of the benefits that are being managed and/or administered on their behalf by ETF (including those administered by third parties which have been approved by ETF) – as well as the premiums associated with those benefits. One means of enabling such a view is to enable enrollment in all such programs through the ETF-sponsored Enrollment facility. Such enrollment enablement would ensure consistency in application of eligibility rules and additionally require ETF to maintain the full set of benefits offered by each ETF employer.

Table 55 Functional Requirements for Flexible Compensation

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to record and maintain pre- and post-tax premium elections or waivers		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	PROCESSES						
2.	Ability to display enrollment information from employee payroll data, such as enrollment dates, pledge amounts, optional insurances, employer reimbursement account, etc.		•				
3.	Ability to record and display pre-tax deductions set up via the employer payroll, for insurance products approved through the Group Insurance Board		•				
4.	Ability to perform COBRA administration, including notifications, in compliance with Federal Regulations		•				
	OUTPUTS						
5.	Ability to extract member payroll data in order to generate various correspondence (i.e., denial letters, claims received verification letters, claims processing letters, COBRA eligibility letters, change in account status letters, change in premium deductions, etc.)		•				

E.4.1.15 FUNDS MANAGEMENT

The following section presents requirements associated with the management of accounting activity generated by the proposed solution.

The proposed solution must be able to process receipts of money (both by check and electronic transmission).

Table 56 Functional Requirements for Funds Management

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to integrate with any services provided by the state's chosen depository institution (currently, US Bank) to permit remote deposit of payments received		•				
2.	Ability to process any payments received on the day of receipt - even if no specific "receivable" yet exists against which to credit the payment. Such processing would require creation of a follow-up workflow item to resolve the ambiguity		•				
3.	Ability to capture a user-defined parameter for each employer as to whether or not to post out-of-sequence employer-reported cash receipts		•				
4.	Ability to capture both member and employer cash receipts data at the program level, with the ability to roll-up as necessary		•				
5.	Ability to capture cash receipt information and remittance type, whether via ACH, wire transfer, lock-box, check, etc.		•				
6.	Ability to capture employer remittance cash receipt date (defaulted to today's date), pay period end date, and report end date		•				
7.	Ability to capture payment frequency for each employer so that the system can track all reporting dates (not just the last reporting date) to ensure that a pay-period has not been missed		•				
8.	Ability to import a file from the bank containing recent transactions and balances including all deposits regardless of method (e.g., teller, ACH, wire transfer) as well as payment status (e.g., cleared, suspended, open, rejected)		•				
9.	Ability for authorized staff to capture and maintain interest rate tables (i.e., purchase of service, member account interest, etc.)		•				
10.	Ability to receive and process automatically a report (ETF -defined period: e.g., daily, but bank-defined format) communicating the bank's payment-related issues, including stop payments		•				
11.	Ability to receive and process automatically a report from the bank of a "paid file" (a list of the checks presented for payment)		•				
12.	Ability to accept multiple ACH payments from multiple accounts from the same employer		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
13.	Ability to accept member payment (i.e., for service purchase, for repayment of over-payments) by credit and/or debit card in addition to check and withholding		•				
14.	Ability to accept and appropriately apply and otherwise manage employee and employer contributions for each benefit and insurance program		•				
	PROCESSES						
15.	Ability to ensure that at all times ETF's manual and computerized records, subsidiary ledgers, control ledger, and reconciled bank balance are in agreement		•				
16.	Ability to roll up all automatic computer generated entries and transmit to the FMIS to post to the general ledger, such that an ETF staff member can successfully identify the source of every automated general ledger entry back to the BAS from FMIS		•				
17.	Ability to default the cash receipt transaction date to today's date (to eliminate need for user entry in most cases)		•				
18.	Ability to send to the FMIS any additions, modifications, closing and/or deletion of programs or tiers such that duplicate data entry is not required			•			
19.	Ability to define new transaction types at the user-level via a table driven parameter and ensure that they are appropriately applied throughout the application and transmitted to the FMIS for GL recording		•				
20.	Ability to automatically (at the time a member's annuity is finalized) transfer the member's account balance from the appropriate member-related account to the FMIS to post to the appropriate pension-related GL account		•				
21.	Ability to automatically (at the time a lump sum benefit is paid, e.g., separation, the last beneficiary on a death benefit, etc.; or the monthly death benefit begins) transfer the member's account balance from the appropriate member-related account to the FMIS to post to the appropriate GL account		•				
22.	Ability to adhere to Governmental Accounting Standards Board (GASB) statements and Generally Accepted Accounting Principles (GAAP)		•				
23.	Ability to adjust a (member's or employer's) account to prevent out-of-balance conditions including an audit trail that includes a reason code and an explanation of historical transactions		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
24.	Ability to credit or debit a (member's and/or employer's) account due to contribution or premium adjustments and tie the credit/debit back to the appropriate program (retirement, health insurance, life insurance, etc.)		•				
25.	Ability to automatically match funds received to the correct employee or employer account		•				
26.	Ability to automatically update payroll to send check to home address (or possibly initiate alternate workflow process) after predetermined number of consecutive EFT or ACH rejects		•				
27.	Ability to capture and maintain contribution rates by employment category and/or year		•				
28.	Ability to capture and maintain contribution rates by employment category and/or date range		•				
29.	Ability to detect employer overpayments and underpayments and process accordingly, either setting up an account receivable / account payable or carrying a positive / negative balance on the employer's account		•				
30.	Ability to record that a check received from a member has insufficient funds and initiate appropriate workflow		•				
31.	Ability to distinguish cash versus non-cash financial transactions (i.e., interest, miscellaneous credits to member's account, etc.)		•				
32.	Ability to automatically waive and/or write off non-cash transactions within a specified tolerance, e.g., all unpaid balances of less than a specified amount		•				
33.	Ability to distribute incoming funds to more than one receivable record for the same member if appropriate		•				
34.	Ability to automatically ensure, for all funds, that member and employer reserves as indicated in the BAS database are continuously in agreement with the general ledger reserve balances for same in the FMIS - and to automatically initiate appropriate action if not		•				
35.	Ability to interface with ETF accounting package to export transaction detail to the GL in sufficient detail such that all deductions are accommodated (i.e., pension benefits "gross to net")		•				
36.	Ability to identify those customers that are eligible for account interest posting, automatically calculate, and apply interest accordingly (e.g., monthly, annually) according to plan provisions including updating variable excess or deficiency amount.		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
37.	Ability for authorized staff to interface to FMIS's chart of accounts with sufficient flexibility to maintain that interface should the chart of accounts change and to allow for the parameterized creation of new systems, funds, programs, etc.		•				
38.	Ability to maintain a history of purged accounts		•				
39.	Ability to match cash receipt information relating to incoming funds with corresponding receivable records		•				
40.	Ability to post out-of-sequence wage and contribution cash receipts so as not to delay posting of subsequent months due to errors (e.g., "problem" months)		•				
41.	Ability to process accounts receivable, cash receipts, accounts payable, cash payments and transfer transactions and pass them to the GL system according to the GL system's chart of accounts and by user defined timeframes		•				
42.	Ability to process collected GL postings according to a changeable user-defined frequency parameter (daily, weekly, monthly, etc.)		•				
43.	Ability to process cash receipts resulting from the reversal of a disbursement		•				
44.	Ability to process receipts (cash, checks, etc.) from interdepartmental transfers, organizations and individuals		•				
45.	Ability to provide a defined and structured matrix mapping BAS transactions to the FMIS and the corresponding GL transactions and the appropriate accounts		•				
46.	Ability to provide a detailed history of all transactions processed		•				
47.	Ability to provide direct integration on a user-defined frequency of the BAS to the general ledger system without the need for any interim programmatic or manual reformatting process		•				
48.	Ability to provide fully automated state accounting system reconciliation functionality, including provision of user-friendly error reports and indication of out-of-balance conditions at a detailed level (i.e., at a sufficiently detailed level so that the user does not need to research where, within a "rolled-up number", a discrepancy exists)		•				
49.	Ability to provide seamless integration with ETF's existing accounting software		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
50.	Ability to query on financial transactions based on unique member id, payment types (including personal checks), check number, etc.		•				
51.	Ability to recognize and track overpayments and establish a corresponding receivable per the Overpayment Recovery Policy and Process (see Appendix E.12)		•				
52.	Ability to reconcile the remittances of employer cash receipts with reported amounts		•				
53.	Ability to support a defined date format and ensure the consistent synchronization of various dates (business date, transaction date, effective date, etc.) between the BAS and accounting/GL systems		•				
54.	Ability to support interfaces to all ETF systems / programs and all of their accounting funds, journals, chart of accounts, general ledger (GL) transactions, etc.		•				
55.	Ability to support the processing / posting of a collection of GL transactions from the BAS to the FMIS		•				
56.	Ability to support the existing Treasury / bank rules, procedures, codes in use, etc.		•				
57.	Ability to automatically increment the cash receipt batch number each batch		•				
58.	Ability to change compounding frequency (e.g. daily, monthly, quarterly, annually, etc.); interest compounding frequency must be table driven and authorized user updateable		•				
59.	Ability to identify all cash receipts that have been received but not yet posted and include in the appropriate reconciliation reports		•				
60.	Ability to prevent the system from unintentionally exporting the same transactions to the accounting system while not precluding the operator from exporting the data again to replace a corrupted export file		•				
61.	Ability to track transactions exported to the accounting system back to the source transaction(s) through an extract date, a batch number or other relevant identifier.		•				
62.	Ability to adjust and reverse any/all transactions generating appropriate audit trail information		•				
63.	Ability to know the effective date and posted date of each transaction and generate exportable reports that include both dates		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
64.	Ability to automatically record the offset of one over- or underpayment against another program's payment and create appropriate journal entries		•				
65.	Ability to manage and apply service charges, e.g., credit card payment fees, charges for member requests for printed checks, and for printed material		•				
66.	Ability to record and maintain a record of both employer and employee contributions for each benefit program		•				
	OUTPUTS						
67.	Ability to extract statistical data to analyze or project trends		•				
68.	Ability to automatically generate appropriate collection correspondence for payables and/or receivables per the Overpayment Recovery Policy and Process (see Appendix E.12)		•				
69.	Ability to generate a Fund Transfer Reconciliation, i.e., a listing of any funds that may have been transferred from one account to another		•				
70.	Ability to generate a GL Mapping Report, i.e., a report / matrix listing the BAS transactions and the corresponding GL transaction recorded in the FMIS		•				
71.	Ability to generate a report of projected funding requirements for the next month to ensure that adequate funds are available in the appropriate ETF accounts		•				
72.	Ability to maintain and generate data and information per ETF specifications that can be used to produce the CAFR report		•				
73.	Ability to automatically generate an insufficient funds correspondence to customer		•				
74.	Ability to generate appropriate correspondence and/or emails to members notifying them of stop payment and/or check trace results		•				
75.	Ability to generate report at the end of each business day relating to the collection and disbursement of funds		•				
76.	Ability to generate report of employer overpayments and underpayments, both daily and on an as-requested basis		•				
77.	Ability to produce appropriate information (user-defined period: e.g., daily) notifying the DOA of ACH-related concerns/issues, including any stop payments that need to be authorized		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
78.	Ability to produce various reconciliation reports with enough detail to accurately reconcile the payments made and cash received		•				
79.	Ability to provide a monthly report of the projected vendor payments for the next month, including both payroll expenses and administrative expenses		•				
80.	Ability to provide adequate reconciliation reports to help end-users verify the transactions processed, including daily, weekly, monthly and calendar and fiscal year reconciliations		•				
81.	Ability to provide on demand a report of the total contributions received that have not been posted to BAS accounts		•				
82.	Ability to track employer account balances and generate reports of the amount of cash receipts remitted by employer over time		•				
83.	Ability to automatically generate and send a report to the bank of an "issue file" (a list of the checks generated for payment)		•				
84.	Ability to split a remittance among multiple methods of payment (ACH, EFT, checks, etc.) including multiple instances of each		•				
85.	Ability to support use of debit cards as an alternative to checks and EFT for benefit payments		•				
86.	Ability to display and report both employee and employer contributions for each benefit received by the employee or participated in by the employer	•	•				
	CONTROL						
87.	Ability to ensure that, if one of ETF business areas enters a cash receipt, then another ETF business area cannot enter the same cash receipt		•				
88.	Ability to provide various controls to ensure accuracy, as an example: ensure that money already entered for a given entity, for a specific time period cannot be re-entered, etc.		•				
89.	Ability to provide various reconciliation controls to ensure that last month's fund balance plus any activity during the month equals this month's fund balance		•				
90.	Ability to prevent or make impossible issuing a refund to a member or employer that is in excess of their current account balance.		•				
91.	Ability to ensure that no zero or negative checks are issued		•				

E.4.1.16 GROUP INSURANCE

The section outlines requirements for all group insurances, e.g., Health, Life, Dental, Vision, Income Continuation, offered by ETF as described in Section B.1.1.2 of this RFP.

Table 57 Functional Requirements for Group Insurance

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability for an employee to be enrolled in insurance coverage through different carriers (health with one carrier, life with another, etc.) including those that are ETF self-insured	•	•				
2.	Ability to update records for mass rate changes, life insurance age update, etc.		•				
3.	Ability to enter and maintain customer enrollments that are effective dated	•	•				
4.	Ability to capture (and delete) coverage insurers as well as modify plan parameters of insurers based upon effective dates		•				
5.	Ability to coordinate benefits with other third party insurers, e.g., Medicare, that may or may not be insurers under the ETF umbrella	•	•				
6.	Ability to capture and store group insurance related information	•	•				
7.	Ability to capture and store insurance enrollment related information including, but not limited to, dependents, date of birth, status as full time student, Medicare eligibility, plan, disability status, National Medical Support notice, court-orders, military status, etc.	•	•				
8.	Ability to capture life insurance enrollment information including but not limited to date of birth, coverage amounts and types, beneficiaries, waiver of premiums, underwriting status, etc.	•	•				
9.	Ability to capture life insurance enrollment information based on whether the employee works for either the state or a local employer, and apply eligibility and enrollment rules to determine the employee's monthly premium	•	•				
10.	Ability to capture, store and maintain insurance related codes, coverage amounts and types, premiums, etc.	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
11.	Ability to capture, store, and maintain enrollment information for other benefits (Employee Reimbursement Account, Commuter Benefits, optional vision, optional dental, etc.)	•	•				
12.	Ability for employers to enroll and change the coverage levels of various programs, including different options for the same employer	•	•				
13.	Ability to provide for a self-service enrollment application for ETF-administered plans with appropriate eligibility edits to control the appropriate timing and coverage level	•	•				
14.	Ability to support automated input and confirmation of employer-generated enrollment information	•	•				
15.	Ability to accept electronically evidence of insurability for enrollment purposes	•	•				
16.	Ability to add, change, and expire (while keeping the data for) TPAs and plans		•				
17.	Ability to add, change, and expire (while keeping the data for) optional benefit plans		•				
18.	Ability to identify primary, secondary, etc., coverage for those insured persons enrolled in (ETF-defined) optional plans		•				
19.	Ability to identify primary, secondary, etc., coverage for those insured persons enrolled in other insurance coverage (state, local, external)		•				
20.	Ability to upload premium rates and surcharges from actuary with the appropriate effective dates of those premium rates and surcharges		•				
21.	Ability to receive information and funds from life insurance (or other) carriers and apply specific indicated amounts against member health insurance premiums		•				
22.	Ability to collect and store information associated with claims paid by TPAs on behalf of each member – and to associate that information with a member's account		•				
23.	Ability to enroll employee in appropriate health insurance plan, whether it is a managed plan (HMO, PPO, etc.), a self-insured plan, or a high-deductible plan, and allow such enrollment using appropriate edits	•	•				
24.	Ability to enroll employee in a health savings account based on eligibility of health plan (e.g., allowed if enrolled in high-deductible plan but not allowed if enrolled in managed or self-insured plan) and apply the appropriate contribution limits based on both state and federal law	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
25.	Ability to capture (and appropriately apply in processing) wellness attestation information for each employee (tobacco use, health risk assessment, etc.)	•	•				
26.	Ability to capture whether the employee's insurance premiums are withheld on either a pre-tax or post tax basis		•				
	PROCESSES						
27.	Ability to apply appropriate IRS enrollment rules for employees whose insurance premiums are withheld on a pre-tax basis		•				
28.	Ability to certify life insurance coverage at the time of retirement and to re-certify coverage if earnings are adjusted		•				
29.	Ability to maintain a premium payment history for each member that reflects payments received (from all sources – sick leave account, pension check, ACH, personal check, employer, etc.) and refunds issued for each month		•				
30.	Ability to track accounts receivable, accounts payable, prepaid account balances (e.g., sick leave, life insurance conversion) for each type of insurance premium (health, basic life, supplemental life, dependent life, spouse life, ICI, dental, vision, Employee Assistance Program 'EAP', Long-Term Care 'LTC', Employee Reimbursement Account 'ERA', etc.) by individual and employer		•				
31.	Ability to automatically set up, manage automatic decrement of, and appropriately manage depletion of sick leave, life insurance conversion, (or other) accounts in paying for health insurance premiums, accompanied by appropriate correspondence to the member		•				
32.	Ability to convert life insurance to a pre-paid account (the amount of which can be tracked and decremented appropriately) that can be used to pay premiums for benefits such as ETF-offered health insurance, long term care, etc.		•				
33.	Ability to bar code unique member ID and premium on individual insurance billings to reduce data entry when billing is returned with payment		•				
34.	Ability for system to apply eligibility/plan rules when enrolling an employee into any of the insurance plans (employer eligibility, must have basic life to enroll in dependent life, coverage limits, age limits, etc.)		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
35.	Ability to record waiver of coverage and minimum employer participation guidelines; and query for non-receipt of waiver – and trigger appropriate workflow for investigation		•				
36.	Ability to establish multiple billing cycles		•				
37.	Ability to bill multiple carriers when an employee is enrolled in insurance coverage with more than one carrier (health insurance through one carrier, life insurance through another)		•				
38.	Ability to establish a set date for ACH premium payments to be deducted from member and/or employer's bank account contingent on the established billing cycle		•				
39.	Ability to update premium deductions from a recipient's benefit payment automatically based on making a change to existing coverage or setting up new coverage. Notify user if net payment is not large enough to deduct new premium amount. Automatically provide sufficient audit trail and appropriate correspondence.		•				
40.	Ability to interface all billing, premium receipts, and vendor payments with General Ledger (GL)		•				
41.	Ability to capture premium amount when premiums are being paid by another party, e.g., employer or former employer		•				
42.	Ability to determine COBRA coverage end dates based on eligibility rules; calculate 18-month, 29-month or 36-month eligibility; automatically cancel coverage at end of eligibility period; and generate appropriate correspondence to both subscriber and carrier when the coverage expires	•	•				
43.	Ability to apply retiree health insurance credit amount to premiums and bill member for net premium amount.	•	•				
44.	Ability to record payments received from multiple sources – checks, ACH, pension check deductions, etc.		•				
45.	Ability to account for adjustments to coverage outside of normal billing cycle; including ad-hoc billing	•	•				
46.	Ability to run the 'pre-note' process for ACH debits to member accounts		•				
47.	Ability to handle non-sufficient funds (NSF) and ACH reversals; and generate appropriate correspondence and workflow; and 'clear-out' account balance accordingly		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
48.	Ability to handle past due accounts, cancel coverage and correspond with member	•	•				
49.	Ability to handle COBRA pending groups – ability to bill, but do not include on eligibility file to the carrier until first premium is received		•				
50.	Ability to set up or cancel coverage retroactively, calculate amount due or refund due, generate billing or refund payment, track changes for carrier and generate appropriate correspondence to appropriate entities	•	•				
51.	Ability to reconcile premium receipts to carrier eligibility files		•				
52.	Ability to comply with Federal COBRA requirements for enrollment and 1st premium payment timeframes		•				
53.	Ability to maintain effective dated 'rate tables' and use the appropriate values for retroactive adjustment purposes		•				
54.	Ability to import rate tables calculated by a third party		•				
55.	Ability to provide member self-service for enrollment and coverage changes; and send confirmation notice back to member and include a transaction confirmation in the member's account	•	•				
56.	Ability to support functionality related to Medicare eligibility (coverage, effective dates, billings, Medicare ID number, etc.)	•	•				
57.	Ability to view and update information with Centers for Medicare and Medicaid Services, including the ability to interpret the error messages		•				
58.	Ability to support employer 'minimum contribution requirements' tracking		•				
59.	Ability to apply all types of insurance deductions and update coverage based on changes and "life events"		•				
60.	Ability to automatically generate payments to insurers based on rates, enrollment data, etc.		•				
61.	Ability to provide an option for direct debit, at member level, for insurance premiums and produce appropriate bank transactions and files		•				
62.	Ability to support interfaces to/from multiple insurers based on effective dates and provide/receive the necessary data (e.g., unique member id, name, levels of coverage, various dates, enrollment information, premiums, etc.)		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
63.	Ability to apply penalties to insurance premium billings	•	•				
64.	Ability to accommodate insurance adjustments, with sufficient detail to reconcile and provide an audit trail	•	•				
65.	Ability to account for and handle health credit subsidies		•				
66.	Ability to acknowledge receipt of insurance application noting premium amounts	•	•				
67.	Ability to assess the “before and after” impact of premium changes across the systems		•				
68.	Ability to automatically calculate all necessary insurance premium amounts using required criteria (i.e. age, Medicare, non-Medicare, employer based wellness, tobacco use, etc.)	•	•				
69.	Ability to automatically adjust all necessary insurance premium amounts when account is updated due to carrier or participant changes, service adjustments, retirement date corrections, etc.		•				
70.	Ability to automatically calculate all necessary insurance premium amounts using required criteria such as multiple systems, employment categories, all eligible service credit, hire date, participation date, insurance county, rehired annuitant, payment codes, health risk, etc.		•				
71.	Ability to automatically default or terminate an insured’s insurance coverage for conversion to new contract		•				
72.	Ability to automatically expire an insurance carrier		•				
73.	Ability to automatically recalculate all necessary insurance premium amounts due to rate changes, insurance age-updates, new insurance contract year criteria, etc.		•				
74.	Ability to calculate and display the impact on net annuity payments of changes in premium amounts	•	•				
75.	Ability to collect and track premium receivables and to process payments to ETF by checks, credit cards, or electronic debits	•	•				
76.	Ability to deduct insurance premiums from benefit payments or an insured’s (or other responsible payer’s) bank account		•				
77.	Ability to determine if the benefit recipient’s monthly benefit after tax withholding has sufficient funds to cover the monthly insurance premium and generate receivables for those who do not have sufficient funds		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
78.	Ability to easily accommodate system-wide structure changes in insurance carriers, contract rates, premiums, plans, options, and levels.		•				
79.	Ability to generate unique ID per insured SSN for use on insurance cards		•				
80.	Ability to handle insurance payments based on age thresholds, Medicare, etc., to third party insurers		•				
81.	Ability to tie insurance payment amounts into the appropriate general ledger accounts		•				
82.	Ability to cross reference insurance among those insured by ETF to coordinate their benefit payments and related correspondence, and maintain detailed information about cross-referenced accounts including unique member ID, date of birth, name, relationship		•				
83.	Ability to automatically process qualifying events (i.e., disabilities, death, marriage, birth, adoption, divorce, termination of domestic partnership, etc.)		•				
84.	Ability to interface with third party insurers and other third party qualified entities	•	•				
85.	Ability to interface with other qualified entities regarding insurance reciprocity data		•				
86.	Ability to issue and track correspondence (certified mail) and other correspondence to document changes to a member's insurance account		•				
87.	Ability to keep track of COBRA requirements		•				
88.	Ability to maintain history of insurance rates, import rate history, including breakdown of insurance amounts of individual accounts		•				
89.	Ability to manually override account breakdown of insurance amounts (exceptions)		•				
90.	Ability to notify ETF users when a change is made to one benefit program that might impact/affect another benefit program	•	•				
91.	Ability to notify users and subscribers if an account address change results in the subscriber living in an area (county, region, etc.) where the health plan in which they are enrolled does not provide coverage	•	•				
92.	Ability to pre-populate enrollment forms with appropriate customer information and to allow for correction of that information by the user	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
93.	Ability to process enrollment forms or adjustments in multiple pay periods through the use of an effective date		•				
94.	Ability to process pre-payment of premiums (i.e. pre-payment through fiscal year-end and pre-payment through calendar year-end); must be able to accommodate refunds/adjustments in cases of deaths or when amount due changes for any reason		•				
95.	Ability to provide a detailed accounting of all insurance based transactions, i.e., payroll, refunds, etc. for any specified time frame that is searchable and sortable	•	•				
96.	Ability to reconcile data differences with insurance companies/TPAs (demographic, enrollment, etc.)		•				
97.	Ability to redeposit insurance refund amount from company, automatically adjusting YTD totals, insurance history data, reciprocity billing data, and issuing payment to member		•				
98.	Ability to report on insurance (census) information overall for upper management and the CAFR		•				
99.	Ability to request refund for partial premium due to death		•				
100.	Ability to review and update pending transactions separately or as a group		•				
101.	Ability to review historical data sent to companies/TPAs		•				
102.	Ability to track insurance applications, for example, during the “open enrollment” period, and generate statistics, counts, etc., and generate appropriate correspondence		•				
103.	Ability to track unlimited dependents and associated information (e.g.. age, full-time enrollment in school, disability status, etc.) and to generate appropriate correspondence and premium adjustments / terminations when a dependent no longer meets insurance qualification criteria		•				
104.	Ability to view insurance detail and summary reports generated		•				
105.	Ability to write-off uncollected insurance refund amounts – pending approval		•				
106.	Ability to automatically “continue” (based on eligibility) a member’s insurance options upon retirement		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
107.	Ability upon member request, to estimate the equivalent health insurance credit based on conversion of their fully reduced life insurance policy	•	•				
108.	Ability to automatically "continue" (based on eligibility) the health insurance coverage for insured dependents upon death of the member or death of an insured subscriber after member's death (i.e. insured dependents children of deceased member on the family plan when surviving spouse subscriber dies)		•				
109.	Ability to apply appropriate edits to determine if an employee is eligible for various health plans (managed, self-insured, high-deductible, etc.)	•	•				
110.	Ability to apply appropriate edits to determine if employee is eligible to enroll in health savings account and to enforce state and federal contribution limits	•	•				
	OUTPUTS						
111.	Ability to produce detailed listing of accounts receivable, accounts payable, prepaid account balances for each type of insurance premium (health, life, dental, vision, EAP, LTC, etc.) by individual and employer		•				
112.	Ability to provide queries usable by each employer, comparing premiums billed to premiums paid, that can be used to reconcile their billings	•	•				
113.	Ability to generate various correspondence related to COBRA eligibility ending, past due accounts, eligibility for Medicare, etc.	•	•				
114.	Ability to provide eligibility files and extract "dropped-dependents" to vendors in various formats		•				
115.	Ability to generate ad-hoc payments to vendors of premiums, refund checks, wire transfers, etc., and prepare necessary interfaces to G/L		•				
116.	Ability to provide listing of health insurance credit applied to each participant's premiums		•				
117.	Ability to generate insurance billing to participating groups, employers, and individuals	•	•				
118.	Ability to automatically produce an "age 65" correspondence to members regarding medical insurance eligibility; track responses and generate follow-up correspondence and workflows for follow-up	•	•				
119.	Ability to export data, i.e., applications, changes, terms, qualifying events, to third party insurers or other third party entities as needed	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
120.	Ability to generate insurance discrepancy report	•	•				
121.	Ability to automatically generate various mailings for insurance related purposes	•	•				
122.	Ability to generate open enrollment mailing for eligible accounts	•	•				
123.	Ability to issue multiple notices for premiums due and to issue delinquency notices and cancel insurance coverage where payments are not collectible	•	•				
124.	Ability to produce automated correspondence for recurring communications to participants	•	•				
	CONTROL						
125.	Ability to provide sufficient information to reconcile monthly insurance statements		•				
126.	Ability to ensure that two state employees (married or Chapter 40 domestic partners) do not violate the business rules for insurance coverage		•				
127.	Ability to ensure that an approved Chapter 40 domestic partnership affidavit is on file before adding that domestic partner and/or that domestic partner's child(ren) to a member's health insurance contract.		•				
128.	Ability to ensure that when a member has a new Chapter 40 domestic partnership established or a member is married (not to the domestic partner on file) the member's former domestic partner is removed from the health contract and notified of COBRA.		•				

E.4.1.17 MANAGEMENT OF ADMINISTRATIVE REVIEWS

The section outlines requirements for the administration of hearings and appeals.

Table 58 Functional Requirements for Management of Administrative Reviews

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture a member's request for an administrative review, e.g., a department determination, a request for reconsideration, an ombudsperson review, an appeal	•	•				
2.	Ability to capture one or more administrative review types and associated review-related issues	•	•				
3.	Ability to capture administrative review-related documents, decision, etc.	•	•				
4.	Ability to limit editing of encounter notes to the person who originally entered the note (with appropriate security and audit trail)		•				
5.	Ability to enter settlement/outcome detail and to track for appropriate follow-up/completion		•				
	PROCESSES						
6.	Ability to add administrative review, program type, nature of complaint, benefit type, resolution (including denial of benefits), etc., codes		•				
7.	Ability to close administrative review after review process is completed	•	•				
8.	Ability to collect all pertinent imaged documents (and an appropriate cover letter) into a virtual paperclip (as described in Section B.1.3.6.1.1)		•				
9.	Ability to track a member's request for an administrative review	•	•				
10.	Ability to add administrative review-specific encounter notes		•				
11.	Ability to ensure that documents in the document archive and notes in the encounter notes can be characterized as "client-attorney privileged"		•				
12.	Ability to ensure processing is passed on to Hearing Administration in the case of a new disabilities determination		•				
13.	Ability to support simultaneous processing of parallel appeals		•				
14.	Ability to interactively maintain a calendaring schedule as part of the BAS for live or video hearing		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
15.	Ability to provide an interactive means of sharing and updating information (e.g., medical and other records; correspondence; scheduling calendar, dates of availability, hearing dates, locations; etc.) with external entities and other parties involved in hearings, given the appropriate security, via the Web	•	•				
16.	Ability to add or alter and automatically act upon administrative review issues and types		•				
17.	Ability to manage submission and processing of new evidence to suspend an administrative review		•				
18.	Ability to override system edits to enter data as the result of an administrative review decision		•				
19.	Ability to automatically alert user processing an administrative review request of all prior cases associated with that member (or family members)		•				
20.	Ability to determine case correspondence status via link to FedEx or USPS certified mail		•				
	OUTPUTS						
21.	Ability to generate "case profile" based on the system's history of events relating to a particular member to be used for administrative review presentation / litigation		•				
22.	Ability to monitor and report on requests for administrative reviews to ensure that they are being processed in a timely fashion		•				
23.	Ability for appellant to determine status of request for administrative review	•	•				
24.	Ability to automatically generate an administrative review Acknowledgement correspondence and necessary follow-up correspondence to member and employer and/or TPA and/or administrative law judge (when applicable)	•	•				
25.	Ability to automatically generate correspondence to member and interested third parties of decisions and taking appropriate actions	•	•				
26.	Ability to generate correspondence to administrative review applicants and parties to a review requesting various additional information, then automatically following up on the request as necessary	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
27.	Ability to generate ad hoc reports on all administrative reviews (open, closed, pending, …) and all data associated with any of those reviews, e.g., status, location, administrative review type, program types, carrier types, name of ETF staff member involved, employer involved, member type, etc.		•				
28.	Ability to provide public access to ETF Board and administrative law judge decisions (appropriately redacted)	•	•				
29.	Ability to search the database of decisions on previous cases using "free form text" and other filters, e.g., time frame		•				
	CONTROL						
30.	Ability to provide (e.g., via secure portal access, fax, CD) all parties to a hearing with appropriate electronic access to all pertinent documents data, etc.		•				

E.4.1.18 MULTIPLE SERVICE (A.K.A. RECIPROCITY)

The section outlines requirements related to service in multiple systems.

Table 59 Functional Requirements for Multiple Service

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture information about eligibility for reciprocity upon enrollment in WRS (or during subsequent membership period within WRS) – in part so WRS can inform member of vesting implications and/or potential indexing of retirement benefit – and to automatically share information with member of the potential benefits	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
2.	Ability to exchange certification of eligibility for reciprocity with City or County of Milwaukee or other entity		•				
3.	Ability, when a member applies for reciprocity at time of retirement, to coordinate potential retirement benefit with the reciprocal agency and take appropriate follow-up action (including notification of options to the member)		•				
	PROCESSES						
4.	Ability to include potential benefit of reciprocity in any request for benefit estimate	•	•				
5.	Ability to include information about service and benefits for both ETF and reciprocal agency on member annual statement, for those members who so qualify	•	•				
6.	Ability to place a member's election of reciprocity into "pending" status until receipt of confirmation of continued eligibility from the reciprocal agency		•				
7.	Ability to automatically generate documentation of the full set of options that a member faces		•				
	OUTPUTS						
8.	Ability to automatically generate "need more information" correspondence to those reciprocal systems		•				
9.	Ability to generate new welcome correspondence containing information about reciprocity to those members who indicate prior membership in a reciprocal system		•				
10.	Ability, when a member applies for reciprocal service at reciprocal agency, to generate correspondence denying or granting request for reciprocity to the member and a certification to the reciprocal agency	•	•				
	CONTROL						
11.	Ability to ensure that overlapping multiple service does NOT result in granting more than one year of service credit for each year worked by member		•				
12.	Ability to ensure that the same period of military service is not credited to both systems for reciprocity purposes		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
13.	Ability to initiate any necessary corrective action when a "reciprocal" retiree returns to work		•				

E.4.1.19 PAYROLL AND OTHER PAYMENTS

The section outlines requirements related to the periodic (monthly, weekly, and special) processing of benefit payroll and other payments that ETF may have occasion to make. ETF's goal is to maximize its use of electronic payment capabilities and requires that the vendor provide a narrative of its experience in this area. In addition, throughout the description of requirements below, the vendor should note that references to "checks" should be understood to include "Electronic Funds Transfers" to both domestic and foreign financial institutions and other means of providing payments to payment recipients. In other words, the proposed solution must be able to create and process disbursements (including pension payroll, and other disbursements currently generated by ETF and the disability TPA in both electronic (EFT) and paper format.

For those benefit recipients that do not have access to a bank account, ETF would like the ability to deposit their payroll disbursements into an individual "debit account" for those recipients who choose to participate in such a program. ETF's requirements for this new program include: secure deposit and withdrawal of funds, ease of use by the recipient, and minimal administrative overhead to ETF staff. ETF is open to third-party administration of such a program. In its proposal, the vendor should discuss how it has successfully implemented "debit accounts" for other retirement systems, or, alternatively, discuss the key concepts and risks that must be addressed for its proposed solution. This "debit account" program may or may not eventually be used for new recipients who do not provide bank information for traditional EFT deposits.

All references to benefit adjustments should be understood to include annual increases or decreases and other such adjustments such as salary indexing.

Table 60 Functional Requirements for Payroll and Other Payments

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture "bulk" changes in bank routing numbers (supporting bank mergers) for direct deposit of benefit payments and updates (e.g. update all payee records with new routing number)		•				
2.	Ability to, as part of an employer report, capture total amount, individual check amount, and allocation of an amount into employer portion and employee portion		•				
3.	Ability to capture all types of stop payments (retirements, refunds, direct rollover, vendor payments, etc.) including the date of stop payment and a reason for the stop payment		•				
4.	Ability to capture changes in individual and bank routing numbers for direct deposit of benefit payments	•	•				
5.	Ability to capture check / payment status, including cancellation status at the check level, the account level and the person level since some individuals may receive multiple checks		•				
6.	Ability to capture disbursement status (check cashed, not cashed, retained and deposited, etc.)		•				
7.	Ability to capture information from payments that were returned to ETF and automatically initiate a process for investigation and corrective action		•				
8.	Ability to capture response from member relating to outstanding payment that they claim not to have received	•	•				
9.	Ability to capture and maintain separate disbursement addresses for refunds, death benefits, annuity, etc.	•	•				
10.	Ability to capture and update direct deposit information	•	•				
11.	Ability to capture and update key financial institution information	•	•				
12.	Ability to capture file format changes for deposits and disbursements dictated by third party payroll service provider (this should be done through a parameter driven menu requiring no recoding)		•				
13.	Ability to capture, update, and validate bank routing numbers and cross match with financial institution name and address	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
14.	Ability to enter one or more messages (to be determined conditionally) to be printed on a check stub or ACH advice for all or a subset of disbursements		•				
15.	Ability to receive and update electronic transfer information from third party payroll service provider (e.g., financial institution name and address, routing numbers, check digit error listing, etc.)	•	•				
16.	Ability to receive and update payroll information from third party payroll service provider	•	•				
17.	Ability to capture and process third party "ingest files," e.g., DOA check number file, WiSMART information, FMIS, generic payroll deduction information, tax levies, etc.		•				
	PROCESSES						
18.	Ability to automatically generate (aggregated, if appropriate) payments (with explanation of payment and recovery amounts) to providers based on deduction and plan issues (i.e., state co-payments, state subsidies, etc.)		•				
19.	Ability to automatically produce a Payroll Summary Report for reconciling a given period's benefit payroll to that of the preceding period prior to printing the actual checks (by reflecting the net effect of all new benefits, benefit adjustments, benefit reinstatements, and benefit deletion transactions that were posted during the payroll period against the prior period payroll; the report should also indicate the expected number of checks to be produced (i.e., number produced in the previous pay period, plus number of new benefit recipients, plus number of reinstated benefit recipients, minus number of benefit recipients suspended / terminated); separate detail reports should be available on demand as backup to the Summary Report – including: New Benefit Recipient Detail, Benefit Adjustment Detail, Reinstated Benefit Recipient Detail, and Benefit Recipients Suspended / Terminated Detail		•				
20.	Ability to automatically produce at the conclusion of every payment run a report of the number of checks printed, the number of domestic payments and the number of foreign payments, and the total amount of each group		•				
21.	Ability to automatically produce at the conclusion of every payment run a report of the number of checks printed, the total amount of all checks printed, and the check number of the first and last checks printed		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
22.	Ability to ensure that for each payment successfully changed to "void" status, a corresponding automatic entry is made to the general ledger		•				
23.	Ability to ensure that only users with appropriate permissions are able to access and update the "payment" file		•				
24.	Ability to ensure that the aggregate amount of all payments processed agrees with the aggregate amount of checks included in the payment file		•				
25.	Ability to ensure that the number of payments processed agrees with the number to be processed per the payment file		•				
26.	Ability to produce (and save indefinitely) an accurate check register file, identified as a 'trial' or 'final' run, such that all amounts and check numbers can be reconciled with the actual checks produced		•				
27.	Ability to process returned benefit checks and update member's account accordingly		•				
28.	Ability to accommodate an automatic payment reconciliation process (as opposed to a manual paper reconciliation process) for multiple checking accounts – with all accounts being handled in the same manner		•				
29.	Ability to display payment information necessary to permit user to complete bank reconciliation processes		•				
30.	Ability to identify the type of payment made to a vendor or member (i.e., system-generated check, manual check, or wire transfer, etc.)		•				
31.	Ability to initiate stop payment requests and subsequently get updated status of same through automated interface with DOA		•				
32.	Ability to automatically process monthly "Stale Draft" and automatically generate (and follow-up on) notification to intended recipients		•				
33.	Ability to process a response from the member relating to outstanding payment and initiate a process to re-issue a new payment, sending that request to DOA to generate the actual payment		•				
34.	Ability to process ACH rejects via electronic notification from the state's chosen depository institution (currently US Bank)		•				
35.	Ability to process manual payment transactions (on a special case-by-case basis with high security / audit levels) for situations where an immediate disbursement must be made		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
36.	Ability to record and report the number of consecutive ACH rejects for each payment recipient		•				
37.	Ability to support the creation of one-time payments		•				
38.	Ability to support the following types of payment types: original, replacement, re-issue, re-sent, etc.		•				
39.	Ability to support the setup and creation of recurring payments (pension payroll)		•				
40.	Ability to support the transfer of direct deposit information to DOA for running payroll		•				
41.	Ability to automatically switch a member from ACH to a one-time paper-check payment when an ACH transaction fails – and automatically include correspondence indicating reason for the paper check		•				
42.	Ability to tie various addresses and bank routing information to the payment (not necessarily just the member) for those cases where a person wants his/her checks / payments to go to different places / accounts		•				
43.	Ability to update files when replacement check or photocopy is issued		•				
44.	Ability, after a stop payment has taken place and the check has been regenerated, to calculate additional interest on non-periodic payments (subsequent installments and direct rollovers)		•				
45.	Ability to automatically process income verification requests, i.e., member / company / agency requesting income verification, including date received and date information was returned for both active and retired members	•	•				
46.	Ability for user to maintain annual adjustments by member at the fund level		•				
47.	Ability to accommodate QDRO payments (fixed amount or fixed percentage of benefit) and related annual adjustment processing		•				
48.	Ability to accommodate the addition of one-time special subsidies that the Legislature/ Board may choose to award		•				
49.	Ability to add survivors and beneficiaries to payroll for either recurring payments or one-time payments		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
50.	Ability to allow benefit recipients to make insurance premium payments directly via an Electronic Funds Transfer from their bank account to ETF (Treasurer) if the benefit payment amount is insufficient to pay the required premium		•				
51.	Ability to apply annual adjustments to a payroll transaction when applicable		•				
52.	Ability to apply deduction to either gross or net pay.		•				
53.	Ability to apply the new benefit amount automatically depending on various options chosen (accelerated or joint coverage) and applicable life events (e.g., death, attainment of age 62, etc.)		•				
54.	Ability to assess a recurring warrant or check charge for those members electing to receive their benefit by check rather than direct deposit or EFT			•			
55.	Ability to automate the addition of a beneficiary to the monthly pension payroll		•				
56.	Ability to automatically adjust a periodic benefit payment amount to recover disability/retirement overpayments until the receivable is satisfied per the Overpayment Recovery Policy and Process (see Appendix E.12)		•				
57.	Ability to automatically determine annual benefit adjustments based on each program's requirements		•				
58.	Ability to automatically determine, process and pay retroactive annual benefit adjustment, if applicable		•				
59.	Ability to automatically recalculate and redistribute benefit amounts to beneficiaries upon qualifying event		•				
60.	Ability to automatically terminate benefits to beneficiaries upon a qualifying event, e.g., to a dependent child upon his / her reaching age 18		•				
61.	Ability to automatically terminate benefits to beneficiaries upon expiration of the guarantee period		•				
62.	Ability to automatically update payroll system with new (adjusted) benefit information (gross annuity, taxable, FWT, etc.)		•				
63.	Ability to calculate and apply annual benefit adjustment based on legislation		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
64.	Ability to calculate and issue retroactive payments to a member who has been suspended from payroll for a period of time		•				
65.	Ability to calculate federal and state withholding tax (based on a fixed dollar amount and/or current tax tables) and update the taxable amount(s)		•				
66.	Ability to calculate tax levies, liens, or support payments, etc., and apply/update attachments (percentages and/or fixed dollar amount)		•				
67.	Ability to control the addition and deletion of individuals from payroll with status codes and status effective dates		•				
68.	Ability to correct invalid non-financial (e.g., SSN) payroll data by manual entry with appropriate audit trail		•				
69.	Ability to create and update selected data including gross check amount, federal and state withholding tax, and other types of deductions, such as overpayments, retired public safety officer insurance premiums, etc.		•				
70.	Ability to create and/or update a detail payroll record with appropriate audit trail		•				
71.	Ability to create deduction-ending dates that automatically suspend deductions when applicable and generate a notification correspondence		•				
72.	Ability to group AR, e.g., overpayment, deductions and calculate and apply a single deduction amount		•				
73.	Ability to create benefit ending dates, e.g., accelerated portion of a benefit, and automatically adjust the payroll appropriately		•				
74.	Ability to cross reference account information (e.g., member, beneficiary, alternate payee, survivor annuitant, etc.) and display the associated account		•				
75.	Ability to determine eligible benefit recipients for existing and future benefit adjustments		•				
76.	Ability to indicate for each benefit recipient the type of adjustment for which they are eligible	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
77.	Ability to display all detailed benefit payment information (current/historical) for each electronic transfer/direct deposit or "paper" check initiated (e.g., check number, payment type, gross payment amount, net payment amount, deduction amounts, check address used, etc.)	•	•				
78.	Ability to generate multiple payments per payee in a single payroll run		•				
79.	Ability to include all deductions on check stub – current period and year to date	•	•				
80.	Ability to maintain a historical file of payroll exceptions	•	•				
81.	Ability to maintain more than one benefit account for a payee, (e.g., annuitant, beneficiary, etc.)		•				
82.	Ability to combine amounts from payments made from more than one benefit account into a single amount from which to calculate tax withholding		•				
83.	Ability to maintain payroll status types and codes		•				
84.	Ability to calculate and maintain annual gross distributions, taxable amount, deductions (including public safety officer insurance premiums), excludable amounts, ratios, and recovered amounts for 1099-R and other required tax reporting (W-2s, 1042s, etc.)		•				
85.	Ability to make a payment payable to a third party (e.g., a guardian) on behalf of a payee		•				
86.	Ability to perform manual benefit adjustment calculations for cases where there are exceptions that could not be updated by the system		•				
87.	Ability to perform payroll "production run" after successful validation		•				
88.	Ability to perform payroll "trial run" to validate payroll data prior to the generation of the payroll tapes/checks and payroll reconciliation reports		•				
89.	Ability to place a "hold" on a benefit payment and release when applicable		•				
90.	Ability to process benefit payments to more than one financial institution and provide for reconciliation and payments to the appropriate institution		•				
91.	Ability to provide adequate check numbering, voucher numbering, and payroll controls to ensure accurate information is sent to third party payroll service provider, banks, and financial institutions		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
92.	Ability to provide an online Web utility for ETF members (benefit recipients) to update/maintain their federal and state tax withholding amount, multiple benefit payment addresses, financial institution information for ACH/direct deposit, and other pertinent information	•	•				
93.	Ability to automatically re-execute payroll edits after a correction has been made in response to an exception/error or the creation of a new record		•				
94.	Ability to reissue a direct rollover amount to a different financial institution		•				
95.	Ability to retain both the rates used in calculating the benefit adjustments for past years as well as the actual benefit increases or decreases applied to individuals' benefit amounts		•				
96.	Ability to retain history of payment addresses, the member's address, and their survivor's addresses, with effective dates 'attached' to all historical addresses		•				
97.	Ability to optionally reuse prior month deductions for third parties in cases where current month deductions have not been received		•				
98.	Ability to send an automatic notification to the accounting department when payroll is run to alert them to remit tax withholding amounts to tax authorities		•				
99.	Ability to send an automatic notification to the accounting department when payroll is run to alert them to approve transactions related to issuing payments.		•				
100.	Ability to send the payroll file to an outside agency for printing of checks		•				
101.	Ability to set up, process and "transfer" a disability retirement to a regular (service) retirement if member no longer qualifies for disability and is eligible for regular (service) retirement		•				
102.	Ability to store and display the before benefit amount, the benefit adjustment, the benefit adjustment percentage, the cumulative adjustment, and the benefit amount after application of the benefit adjustment (including all applicable deductions).		•				
103.	Ability to store reasons for not receiving a specific benefit adjustment (per account)		•				
104.	Ability to support both one-time and recurring deductions		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
105.	Ability to support different levels of exceptions/errors, both fatal and non-fatal (e.g., payroll runs successfully versus payroll does not run successfully)		•				
106.	Ability to support Joint and Survivor Annuity and other benefit payments and provide detailed tracking of the payments, with the ability to transfer the benefit to the survivor after eligibility validation and certification of death of the benefit recipient		•				
107.	Ability to support multiple payment addresses, each in effect for a portion of a year (e.g., “snowbirds”) and ability to distribute address changes to related parties as necessary		•				
108.	Ability to support negative, zero, and positive account balances but generate only positive payment amounts and create appropriate warnings/error messages when zero or less than zero		•				
109.	Ability to support payment of a rollover amount to multiple financial institutions and/or multiple accounts within one financial institution		•				
110.	Ability to support the entry of federal and state tax withholding for a future date and implement the change with the benefit payroll corresponding to the date		•				
111.	Ability to support void, forgery, and stop pay situations, and generate replacement payments where applicable		•				
112.	Ability to suspend and reactivate a member’s payroll record		•				
113.	Ability to test a direct deposit disbursement via pre-note capability		•				
114.	Ability to track individual payroll deductions (e.g., member name, name of entity, address, amount paid, date of payment, check number, etc.)		•				
115.	Ability to track and appropriately process receipt of notification of change in marital status, death of survivor, divorce or QDRO, etc., as well as automatically generating and transmitting all appropriate process-related correspondence		•				
116.	Ability to update benefit adjustment processing should a benefit recipient become eligible after execution of the normal benefit adjustment unattended process, for all or a subset of members		•				
117.	Ability to update related fields (transfer amount, gross, taxable, survivor benefit, etc.) after recalculating the benefit adjustment		•				
118.	Ability to withhold (or credit) healthcare and dental premiums and other third party deductions from a benefit payment		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
119.	Ability to validate entry of a new financial institution's bank routing number by using the ABA 'check digit' calculation (the 9th digit in the routing number for domestic banks and the Federal Reserve database for international institutions)		•				
120.	Ability to execute a payroll run during the day or evening without interfering with business operations		•				
121.	Ability to calculate distribution to mandated payee(s) from benefit recipients receiving periodic payments, to initiate distributions, calculate withholding, and to make retroactive distributions		•				
122.	Ability to adjust distribution to mandated payee(s) when benefit is adjusted or because of subsequent court action and to recover overpayments or make retroactive distributions		•				
123.	Ability to terminate distribution to mandated payee(s) because of benefit termination or subsequent court action and to recover overpayments or make retroactive distributions		•				
	OUTPUTS						
124.	Ability to automatically generate correspondence to the member explaining that he/she has received a specified number of consecutive outstanding checks that have not been cashed or if a check is outstanding for more than a specified number of days	•	•				
125.	Ability to generate correspondence notifying benefit recipient of a reissued payment and reason	•	•				
126.	Ability to generate separate benefit and refund reports identifying the journal entries transmitted to GL and a summary of all benefit payrolls, taxes, and adjustments on a periodic basis as defined by ETF		•				
127.	Ability to automatically transmit (user-defined period, e.g., daily) notification to the bank of concerns/issues relating to payments, including any stop payments that need to be authorized, etc. and create a report of such notifications		•				
128.	Ability to generate or suppress a “Change in Benefit Amount correspondence” when a benefit payroll amount is adjusted/changed (combining multiple adjustments into a single correspondence), including variable paragraphs based on nature of the adjustments		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
129.	Ability to generate comprehensive reports listing all changes that took effect since previous report or since previous month's pension payroll (additions, deletions, modifications, old amount vs. new amount, changes in tax withholding, name changes, etc.)		•				
130.	Ability to generate an additional information correspondence to the member, beneficiary, survivor, financial institution, etc.	•	•				
131.	Ability to generate Check Register Report		•				
132.	Ability to generate Deduction Register Report		•				
133.	Ability to generate Direct Deposit Register Report (separating domestic from international payments)		•				
134.	Ability to generate exception reports after the benefit adjustments, etc., have been applied		•				
135.	Ability to generate Monthly Benefit Adjustment Detail Report		•				
136.	Ability to generate New Benefit Recipients Detail Report		•				
137.	Ability to generate Payment Register Report		•				
138.	Ability to generate Benefit Exception Report		•				
139.	Ability to generate Reinstated Recipients Detail Report		•				
140.	Ability to generate Recipients Suspended/Canceled/Expired, etc., Detail Report		•				
141.	Ability to automatically generate various Acknowledgement correspondence for name, address, W4P, direct deposit, etc., changes	•	•				
142.	Ability to generate various correspondence to the benefit recipient regarding attachments, garnishments, IRS payoff amounts for tax levies, end of benefit date, etc.	•	•				
143.	Ability to generate various payroll control reports		•				
144.	Ability to process year-end payroll reporting for fiscal and/or calendar year		•				
145.	Ability to produce a standard benefit adjustment correspondence to all recipients, accommodating both automated or ad hoc generated correspondence	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
146.	Ability to provide an automated process for entry of information relating to "manual" and "one-time" checks, including the following safeguards: n Only users with appropriate roles and permissions are authorized to enter "manual" and "one-time" check information n Every "manual" and "one-time" check is identified as either an original or a replacement check n All necessary information, including the number of the check, the amount of the check, tax withholding amounts, other deduction amounts, the fund from which the check was issued, and the type of the check (benefit or refund, original or replacement), is collected for purposes of making the appropriate general ledger entry n Checks are appropriately posted and linked to the recipient in the BAS, including ensuring that the issue date in the solution is the check's true issue date (not necessarily the posting date)		•				
147.	Ability to reproduce EFT disbursements, e.g., monthly payments to a third party		•				
148.	Ability to send a reprint request to DOA for a check that may have been damaged during printing - or otherwise		•				
149.	Ability to automatically produce appropriate correspondence to accompany a replacement check		•				
150.	Ability to send payment advices detailing the gross payment and itemized deductions as a result of every payment (using benefit recipient's indicated means of communication)	•	•				
151.	Ability to permit benefit recipients to opt out of receipt of payment advice except when payment or deduction amounts change	•	•				
152.	Ability to receive file back from DOA containing information related to payments (i.e., check number, check date, EFT trace number, etc.) and appropriately (and automatically) apply that information to the BAS		•				
	CONTROL						
153.	Ability to create and maintain exception types and codes		•				
154.	Ability to produce various reconciliation reports used to reconcile the benefit increase or decrease, etc., and ensure that the overall payroll is balanced before any disbursements		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
155.	Ability to recalculate batch totals after a payroll exception/error is corrected or if records are created or deleted; new summaries must be displayed for the corresponding payroll process		•				
156.	Ability to support a reconciliation process for all payroll transactions against ETF accounting system (to be performed after payroll validation)		•				
157.	Ability to track and reconcile payments made to benefit recipients receiving any third party payments, e.g., SSA payments, against the amounts offset for those payments in payroll run		•				
158.	Ability to support a reconciliation process for all payroll transactions at the time of benefit payroll execution		•				

E.4.1.20 POWER OF ATTORNEY (AUTHORIZED AGENT)

This section outlines requirements related to an approved Power of Attorney (POA), Guardian, Trustee, Conservator, Executor, Special Administrator, or other person legally authorized to act on the behalf of, or in the interest of, another person. (Within the section, the term ”Authorized Agent” should be construed as meaning any authorized representative.)

Table 61 Functional Requirements for Power of Attorney

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to enter the appropriate Authorized Agent information upon approval (e.g., designated or court appointed agent(s) name and address, whether agent "acts" alone or together with another agent, agent "powers", durable, non-durable, specific, general, effective dates, etc.) (Note that, depending on the characteristics of the agreement, it may prohibit the agent's naming him/herself as beneficiary or survivor of the member's benefit plan.)	•	•				
2.	Ability to capture and act upon a specific time duration (date from and date to) noted in an Authorized Agent document	•	•				
3.	Ability to capture and track the status of an Authorized Agent document (e.g., pending, approved, rejected, legal review, revoked, etc.) and automatically create any necessary communications	•	•				
4.	Ability to capture, update, and display submittal of Authorized Agent document	•	•				
5.	Ability to flag and perform periodic validation of Authorized Agent documents (depending on type of request, specific US State, and other factors)	•	•				
6.	Ability to automatically route transactions associated with accounts that have associated Authorized Agent(s) to specific roles or users for processing		•				
	PROCESSES						
7.	Ability to suspend any account-related transaction until the request made by the Authorized Agent document has been approved	•	•				
8.	Ability to suspend any account-related transaction if there is no corresponding record in the system of an Authorized Agent for the requester (when a request/document, e.g., application for refund, is submitted by a person representing him/herself as an Authorized Agent) and automatically generate any necessary communications	•	•				
9.	Ability for ETF to approve/reject an Authorized Agent document		•				
10.	Ability to accommodate multiple Authorized Agent designations; all approved authorizations will remain in effect until they are revoked		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
11.	Ability to automatically change the Authorized Agent status from “approved” to “revoked” or "expired" when the specified duration has been exhausted		•				
12.	Ability to automatically generate an approval (or disapproval - with reason) correspondence to both the member and designated agent(s) (as appropriate) when an Authorized Agent record has been updated with a status of approved/disapproved. Such an action should also lift the suspension on any transactions previously suspended while awaiting approval/disapproval	•	•				
13.	Ability to generate a delay correspondence when an Authorized Agent document is sent to ETF legal staff for review		•				
14.	Ability to generate correspondence indicating that a transaction cannot be processed based on an agent’s approved powers		•				
15.	Ability to generate correspondence (advising the member of the current Authorized Agent status) to the member alerting him/her when an approved Authorized Agent is on file and the member submits another Authorized Agent designation		•				
16.	Ability to generate a response (correspondence) to a person seeking to designate him/herself or authorize a transaction on an account as an Authorized Agent explaining that the transaction cannot be processed until appropriate documentation has been received and approved by ETF		•				
17.	Ability to view current and historic Authorized Agent information		•				
	OUTPUTS						
18.	Ability to enumerate all accounts associated with a specific Authorized Agent		•				
	CONTROL						
19.	Ability to track restricted actions and automatically generate a workflow request for further review when an authorized agent attempts such an action, e.g., when an agent is named as a beneficiary or named survivor		•				
20.	Ability to ensure that all correspondence will be sent to an appointed guardian or conservator after the guardian (or conservator) court order has been reviewed/approved by ETF staff		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
21.	Ability to restrict transactions for a member who has an appointed / approved Authorized Agent (i.e., the member may no longer conduct business on his/her own behalf except possibly in certain limited circumstances, for example, a change to member demographic data supported by "valid proof" documentation) and notify ETF staff, if applicable, throughout all processes (including the submission of an Authorized Agent document) that an Authorized Agent has been reviewed/approved by ETF staff or that one is pending review – and that all account transactions must be initiated by the Authorized Agent as indicated in the supporting documentation		•				
22.	Ability to process a transaction based on the agent's approved powers (e.g., if agent must "act" in conjunction with another agent, signatures from both are required prior to processing transaction)		•				
23.	Ability to indicate as part of the member data that one or more Power of Attorney(s) exists as part of the member record and the characteristics of each POA		•				
24.	Ability to indicate as part of the member data that an Authorized Agent has been authorized to act on behalf of the member and the characteristics of the authorization		•				
25.	Ability to ensure that all correspondence will be sent to the appropriate individual(s) after the Authorized Agent (as appropriate) has been reviewed/approved by ETF staff		•				
26.	Ability to ensure that activities by an Authorized Agent are limited to the specific member for which they are acting (when an Agent is authorized to act for more than one member)		•				
27.	Ability to manage security in situations in which multiple members of a firm are acting on behalf of multiple ETF members		•				
28.	Ability to automatically ensure (and generate appropriate correspondence) that a member death terminates authority of all Authorized Agents except for Trustees whose authority may then be made active		•				

E.4.1.21 PURCHASE OF SERVICE

The following section outlines requirements for members purchasing various types of creditable service.

Table 62 Functional Requirements for Purchase of Service

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture tax status, a transaction date, effective date, and amount remitted for each purchase of service (at level of detail required by ETF, applying it to the specific purchase) payment received from member, employer, or financial institution managing a qualified plan		•				
2.	Ability to capture from the member a request for purchase of service information (for all types of service purchases) via a purchase of service application form or letter	•	•				
3.	Ability to capture from the employer, member, or ETF staff a request for a purchase of service estimate or update to a previous estimate (for all types of service purchases) through a Web utility	•	•				
4.	Ability to provide an on-line service purchase estimator (using the same engine as that used in staff-initiated estimates) to members	•	•				
	PROCESSES						
5.	Ability to post purchased service credit to member's account based on the purchase of service process		•				
6.	Ability to automatically cancel a "qualifying" service purchase (and refund any monies received) if the entire payment has not been received within a specified period)		•				
7.	Ability to automatically pro-rate a "forfeited" or OGS service purchase based on the amount received		•				
8.	Ability for members and/or employers to make payments directly via an electronic payment (Web based, ACH, or credit card) or interdepartmental transfer	•	•				
9.	Ability to "pend" purchase of service payments (from both employer and member) until the purchase has been completed, then post the full amount of service credit purchased to the member's account (alternatively, permit posting of partial purchases)		•				
10.	Ability to automatically accept incoming rollover payments from financial institutions managing a qualified retirement plan (including validation of the financial institution) toward a member's purchase of service	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
11.	Ability to accommodate a member's election to rescind a purchase of service agreement and reverse all service credit purchases that were posted prior to the decision to rescind		•				
12.	Ability to accommodate multiple purchases of the same type of service and track the employer/employment category and contribution rate on date of purchase associated with each		•				
13.	Ability to allow for various member payment methods, including a lump sum payment, rollover, EFT, installment payments, and payroll deductions		•				
14.	Ability to apply interest to an already established Purchase Application if a late-payment is made		•				
15.	Ability to automatically recalculate (and generate updated cost correspondence) an already established Purchase Application if there was an interruption in payments		•				
16.	Ability to apply the appropriate service credit amount (in the appropriate service credit "buckets" and employment category) to a member's account based on the purchase of service agreement and payments received		•				
17.	Ability to automatically create, update, and maintain a history of each purchase of service (e.g., amount of service, type of service, cost of service, payments received, tax status, and "Investment in Contract", etc.) for a member and/or employer purchase of service agreement		•				
18.	Ability to calculate amount of service credit member is eligible to purchase for each type of service credit purchase	•	•				
19.	Ability to compute a comparison of the member's future retirement benefit with and without an eligible service credit purchase	•	•				
20.	Ability to automatically detect overdue (or interruption in) payments		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
21.	Ability to determine the cost (member and employer share if applicable) and payment plan(s) for the various types of service credit purchases: n Formerly refunded service with ETF n Qualifying service (time earned during probationary hire) n Former un-credited full-time service with an employer covered by an ETF system n Military service n Employer's election to purchase prior service n OGS		•				
22.	Ability to generate pre-filled purchase of service applications and track the distribution, turn-around, and processing of each form		•				
23.	Ability to grant service credit with no cost up to the limit applicable to the plan such as USERRA		•				
24.	Ability to handle legislation, business rules, prior period adjustments, etc. related to those types of service credit adjustments that have no cost associated with them (approved leave for professional study, workers compensation, limited term employees, etc.)		•				
25.	Ability to include an automatic calculation of recovery time (whether it would be to the member's benefit to make the purchase and what the break-even period would be) when calculating a cost to purchase and benefit estimate.		•				
26.	Ability to maintain a scheduled employer installment payment (of amounts withheld from member's payroll checks) process as part of the employer's regular (wage and contribution) reporting schedule		•				
27.	Ability to maintain a table of purchase of service types including the ability to add a new type when legislation warrants it		•				
28.	Ability to automatically calculate service purchase estimates and changes based on all rates, factors, and tables associated with each type of service credit purchase (e.g., employment category, contribution rate, interest rates, etc.)		•				
29.	Ability to maintain in member account a detailed history of all separation benefits such that, when the member elects to purchase service corresponding with a prior separation, the cost of the purchase can be calculated automatically		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
30.	Ability to maintain the eligibility requirement rules and associated calculation for each type of service credit purchase		•				
31.	Ability to provide the employer, member, or ETF staff a calculator to determine a purchase of service estimate / update (for all types of service purchases) through a Web utility	•	•				
32.	Ability to recalculate a purchase based on receipt of additional information and generate a revised Purchase Application		•				
33.	Ability to recalculate the remaining balance due when an overdue payment arrives		•				
34.	Ability to route the application for audit and/or review		•				
35.	Ability to support receipt of payment via employer payroll withholding		•				
36.	Ability to track and maintain the tax status (i.e., before tax or after tax) of all service credit purchase payments		•				
37.	Ability to update member demographic information while processing a purchase of service application	•	•				
38.	Ability to create service purchase credit within the system in situations in which there is no associated ETF employer, e.g., military service, OGS		•				
39.	Ability to identify, trigger and send projected stop notices for all service purchase types to insure that they are stopped in timely fashion, thus avoiding additional, unnecessary deductions, and subsequent refunds		•				
	OUTPUTS						
40.	Ability for the system to extract certain purchase of service information so that the actuary can review and determine the cost of purchase for OGS (Other Governmental Service) cases in general		•				
41.	Ability to automatically generate correspondence requesting additional information relating to an incomplete purchase of service application and include the appropriate application highlighting the areas that need to be completed or corrected	•	•				
42.	Ability to automatically generate reimbursement (with correspondence of explanation) to the employer, member, or financial institution for an overpaid, erroneous, department rejected, or member-rescinded purchase of service agreement (with appropriate, automated tax handling)		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
43.	Ability to automatically generate a denial correspondence if member is ineligible to purchase service credit		•				
44.	Ability to automatically generate a Service Purchase Agreement / Estimate / Invoice (turn-around document) for the member which provides the cost (to the member) of the purchase, choice of payment plans, terms and conditions for each payment plan, the amount of service, and a comparison of the member's future retirement benefit with and without the purchase	•	•				
45.	Ability to generate a Service Purchase Agreement / Estimate / Invoice (turn-around document) for the employer (if applicable) which provides the employer's share of the cost of the member's purchase and the terms and conditions	•	•				
46.	Ability to generate an updated statement (revised Purchase Agreement / Cost Sheet / Invoice) for the member or employer when an overdue payment arrives	•	•				
47.	Ability to automatically generate correspondence to both the employer and the member when agreed upon payments have not been made by either the employer or the member (including when member switches employers)	•	•				
48.	Ability to generate correspondence informing member and employer of ETF's decision to cancel the purchase due to overdue payments, including intent to reverse service credit purchase posted prior to cancellation and intent to return all payments made to date	•	•				
49.	Ability to generate correspondence informing member and employer of ETF's decision to cancel the purchase due to overdue payments, including intent to prorate the service credit purchase posted prior to cancellation	•	•				
50.	Ability to generate bar-coded payment coupon(s) to accompany lump sum or installment purchase of purchase of service payments sent by member		•				
51.	Ability to automatically produce correspondence to acknowledge completion of a purchase of service	•	•				
52.	Ability to produce correspondence to acknowledge receipt of each application	•	•				
53.	Ability to allow member to check outstanding payment balance via web portal	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
54.	Ability to credit purchased other governmental service separately so it is not used to determine eligibility for other benefits, e.g., 20 years for continued health insurance when member terms by reaching minimum retirement age		•				
	CONTROL						
55.	Ability to create an un-remitted contribution report so that ETF knows what money is still owed on all outstanding service purchases		•				
56.	Ability to provide the employer and/or ETF staff with the capability to extract purchase of service reports through a Web utility (e.g., report listing all satisfied/outstanding purchase of service agreements, report listing any outstanding purchase of service receivable against the employer, etc.)	•	•				
	METRICS						
57.	Ability to report how many Service Credit Purchase Agreements were requested, processed, paid for in a lump-sum payment or are continuing to be paid, etc.		•				
58.	Ability to determine and report on the quantity of Service Credit Purchase Agreements that were requested but remain unused and to automatically generate follow-up correspondence and/or educational material		•				

E.4.1.22 QUALIFIED DOMESTIC RELATIONS ORDER (QDRO) AND COURT ORDERS

The section outlines requirements for processing court orders such as Qualified Domestic Relations Orders, Domestic Relations Orders, support orders, IRS and bankruptcy liens, and other court orders or similar documents. One important note for the vendor: the proposed solution must be constructed such that any calculation or result potentially affected by any one (or more) existing court orders must automatically include the impact of the court order in the calculation. Depending on the staff member or user to determine that an order exists and applies to a specific calculation has the potential to introduce human error (by omission) and is therefore not acceptable. Note also that QDRO and DRO are often (imprecisely) used interchangeably. Throughout the requirements that follow, QDRO has been used to incorporate DRO.

Table 63 Functional Requirements for QDROs and Court Orders

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability for an authorized user to enter and display and amend as necessary as part of the member record, court order-related information and characteristics (for one or more court orders)		•				
2.	Ability to provide a member with an estimate of the amount of their benefit that will be affected by a QDRO or Court Order, prior to its issuance, e.g., a specified percentage up to a total monthly amount of a specified dollar figure	•	•				
3.	Ability to notify member of the receipt of a QDRO or other Court Order and the effect that application of the QDRO will have on their account/benefit	•	•				
4.	Ability, upon receipt of additional Court Order information, to append it to the existing Court Order if one is in process; initiate a new Court Order process if the prior Court Order information is already either finalized or rejected – and to generate appropriate correspondence	•	•				
	PROCESSES						
5.	Ability to split and subsequently maintain accounts and/or benefits appropriately in the processing of an accepted QDRO or other Court Order, automatically creating additional accounts as necessary		•				
6.	Ability to link all active member and/or benefit recipient accounts to all related mandated payees, split accounts, split payments and vice versa		•				
7.	Ability to make appropriate account/benefit adjustments as necessary based on the rules associated with a finalized court order(s)		•				
8.	Ability to automatically monitor split benefit payment amounts		•				
9.	Ability to record and support instances where multiple, legitimate QDROs and/or Court Orders are placed against a member's account		•				
10.	Ability to automatically start and/or stop payments when the maximum amount has been paid or other conditions met and generate appropriate correspondence	•	•				
11.	Ability to support the appropriate allocation of an account/benefit to multiple payees as defined by multiple court orders		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
12.	Ability to enter and maintain non-participant member payee (individuals, entities, etc.) demographic and monetary-related information		•				
13.	Ability to alert users when a QDRO or other Court Order is being processed or is in place for the member or alternate payee		•				
14.	Ability to alert any user who is working on any work in progress that additional QDRO or Court Order information has arrived and may be applied to the account/benefit (since the additional information may affect the QDRO or Court Order or other work in progress such as a retirement)		•				
15.	Ability to adjust member benefit retroactive to decree date and to recover and appropriately disburse any amounts over/under paid to the member and to generate appropriate correspondence	•	•				
16.	Ability to "undo" a split of accounts/benefits when an amended QDRO and/or Court Order changing the benefit to 0% is received and automatically update any necessary benefit calculations and generate appropriate correspondence	•	•				
	OUTPUTS						
17.	Ability to generate appropriate correspondence outlining the rights of individuals with respect to one or more court orders in place on a member's account	•	•				
18.	Ability to generate report(s) of and monitor split account/benefit payments for reconciliation purposes		•				
19.	Ability to produce ad hoc reports that respond with information requested by court order or other authorized party		•				
	CONTROL						
20.	Ability to alert user when a court order is being processed or is in place for the member or mandated payee and "cross-reference" to another member's account (e.g., spouse also within the retirement system), also providing the ability to easily and automatically navigate among the related accounts		•				
	METRICS						
21.	Ability to generate reports on total numbers of QDROs and Court Orders applied and any trends in those numbers		•				

E.4.1.23 SEPARATION BENEFITS AND REFUNDS

The section outlines requirements for withdrawal of member contributions prior to retirement (Separation Benefits) and refunds of overpayments, etc.

Table 64 Functional Requirements for Separation Benefits and Refunds

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture direct rollover related information (e.g., percentage or specific amount to be rolled, financial institution information, account number, plan types, etc.)	•	•				
2.	Ability to capture separation benefit-related information (e.g., last day worked, termination date, comments, etc.) from separation benefit application	•	•				
3.	Ability to determine that a member who has submitted a separation benefit application is still an active employee and to automatically take appropriate action, e.g., notify employer and request termination information, warn employee that her employer will be notified, etc.	•	•				
	PROCESSES						
4.	Ability to automatically accommodate retroactive interest posting for those cases in which a separation benefit should not have been taken and is reversed		•				
5.	Ability to "split" the amount to be refunded between the member, one or more financial institutions, or another third party in a single transaction		•				
6.	Ability to assign to a separation benefit: status, status date, and reason as a transaction in the member's account		•				
7.	Ability to automatically notify inactive members of a potential separation benefit on a periodic basis	•	•				
8.	Ability to automatically calculate and apply or back out interest		•				
9.	Ability to automatically calculate the amount to be refunded (gross, net, etc.)		•				
10.	Ability to confirm that a member is eligible for a benefit prior to processing a separation benefit request	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
11.	Ability to automatically correct a separation benefit transaction already posted against a member's account		•				
12.	Ability to automatically determine direct rollover eligibility and minimum distribution amount		•				
13.	Ability to determine retirement eligibility of member requesting a separation benefit and automatically generate appropriate follow-up correspondence, following up with appropriate selected processing	•	•				
14.	Ability to display a payment summary and a payment detail pertaining to each separation benefit payment	•	•				
15.	Ability to ensure that earnings for refunded periods are not included in Final Average Earnings calculations for a subsequent retirement		•				
16.	Ability to ensure that the termination date is more than a specified number of days (user-specified) prior to the date of re-employment		•				
17.	Ability to identify and appropriately resolve a termination date discrepancy and take further action with regards to the benefit paid		•				
18.	Ability to inform user that member is active with more than one employer, so user can verify that multiple employment-specific forms (waiver or termination) have been received		•				
19.	Ability to make separation benefit payments through various methods (i.e., paper checks, direct deposit, electronic transfer)		•				
20.	Ability to notify members of separation benefit status via IVR, call center, portal, etc.	•	•				
21.	Ability to, at the time of separation benefit, update the member's account with a separation benefit transaction that includes service and contributions		•				
22.	Ability to recalculate a separation benefit based on receipt of additional information and re-verify payment options (direct rollover versus direct payment)		•				
23.	Ability to refund both regular contributions and purchase of service contributions, creating appropriate tax records, reducing service credit according to the amount refunded		•				
24.	Ability to suspend the payment of a separation benefit until pending transactions have been completed and subsequently release separation benefit for payment		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
25.	Ability to retain original withdrawal/rollover distribution when original transaction is adjusted/corrected.		•				
26.	Ability to retrieve previously identified financial institution information (e.g., name, federal identification number, routing information, etc.) to avoid re-keying common information		•				
27.	Ability to route the account for audit and/or review prior to issuing separation benefit payment		•				
28.	Ability to support and track pre-tax vs. post-tax contributions in separation benefit processing		•				
29.	Ability to automatically support Court Ordered processing where there are multiple payments to be issued		•				
30.	Ability to set up a periodic reminder to follow-up with an employer on a member's behalf in those cases when we know that an initial calculation was incomplete because it was processed prior to the final employer report			•			
31.	Ability to suspend the payment of a separation benefit until the final earnings and service information is received from the employer; then automatically (re)calculate separation benefit and release for payment		•				
32.	Ability to track termination date, last employer reporting date, separation benefit request date, separation benefit-processed date, payment date, etc.		•				
33.	Ability to update member demographic information while processing a separation benefit application	•	•				
34.	Ability to track the distribution, turn-around, and processing of multiple direct rollover forms (i.e., if member requests payment to be distributed to multiple financial institutions); confirm the member has completed a Rollover Form for each financial institution	•	•				
35.	Ability to generate multiple separation benefits of the same type to the same individual (e.g., for different time periods)		•				
36.	Ability to automatically rebuild a member account (when the account was erroneously terminated – or as a result of member "change of mind")		•				
37.	Ability to process and issue a post-retirement date-refund (supplemental benefit)		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
38.	Ability to perform an automatic write-off of amounts less than a specified number of dollars, an amount that may be adjusted on an annual basis		•				
39.	Ability to automatically create all necessary separation benefit-related GL entries		•				
40.	Ability, upon payment of separation benefit, to automatically calculate the appropriate offsets to any pertinent disability benefits and generate appropriate correspondence to member reflecting the disability benefits that will now be paid		•				
	OUTPUTS						
41.	Ability to automatically produce correspondence to an employer who is receiving a credit for return of excess contributions sharing the calculation of the value of the amount to be returned (principal, interest, taxability, etc.)		•				
42.	Ability to automatically produce correspondence to a member who overpaid a premium (for example) sharing the calculation of the value of the amount to be returned (principal, interest, taxability, etc.)		•				
43.	Ability to automatically generate additional correspondence to an applicant to complete an incomplete separation benefit case and include the appropriate application (e.g., separation benefit application, direct rollover application, etc.) highlighting the areas that need to be completed or corrected	•	•				
44.	Ability to create a system generated separation benefit payment correspondence, fully describing the components of the payment		•				
45.	Ability to generate 1099-Rs for those individuals who received a separation benefit		•				
46.	Ability to generate a “check stub” for each separation benefit payment		•				
47.	Ability to generate all separation benefit-related documents (and track their distribution, turn-around, and processing): n Separation Benefit Application n Rollover Form n General Separation Benefit Correspondence n Etc.		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
48.	Ability to generate an overpayment correspondence and appropriate invoice where applicable		•				
49.	Ability to automatically check with the state Department of Revenue and the Department of Children and Families (e.g., to determine if there are other persons to whom a portion of the benefit might be due) for those individuals who have filed to receive a separation benefit		•				
50.	Ability to produce an Acknowledgement correspondence to acknowledge receipt of each form; if multiple forms are received, one Acknowledgement correspondence would be produced listing the multiple forms received	•	•				
	CONTROL						
51.	Ability to automatically suspend a separation benefit from being processed if a new enrollment form is received for the member		•				
52.	Ability to confirm that there is no legal (or other) hold on member's account before issuing a separation benefit		•				
53.	Ability to automatically generate additional processing (if necessary) if there is a non-zero balance (i.e., negative/positive) after a separation benefit has been processed		•				
54.	Ability, upon receipt of application for separation, to automatically notify disability staff if there is a disability benefit flag and subsequently generate the appropriate correspondence to member based on disability program rules, suspending the payment of any separation benefit until the transaction has been verified by a disability specialist		•				
	METRICS						
55.	Ability to provide statistical, managerial, and demographic data for various reporting purposes, such as number of separation benefits generated in total, by fund, by employer, by job classification, etc.		•				

E.4.1.24 RETIREE RETURN TO WORK

The following section outlines requirements associated with retirees who elect to return to work. The requirements associated with those members who have taken a disability benefit and subsequently return to work, whether in a covered position or outside of the system, are covered in Appendix E.4.1.11 Disability.

Note: Several legislative bills to alter laws for rehired annuitants have been proposed and/or introduced during the spring 2013 legislative session. The vendor is cautioned to remain informed of any changes to the law prior to contract signing – see Section C.6.3.7.2.

Table 65 Functional Requirements for Retiree Return to Work

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture and retain/manage the status and other information of the post-retirement WRS employment, (including information from reciprocal systems)		•				
2.	Ability to create a second (or nth) account when a retiree returns to work – and to associate the multiple accounts to the individual member		•				
3.	Ability to capture the choice of a rehired annuitant to participate in WRS as a covered member (and any consequential benefit decisions) or continue to receive an annuity benefit	•	•				
	PROCESSES						
4.	Ability to calculate the correct (compounded) benefit upon a reestablished member's re-retirement		•				
5.	Ability to create and maintain a "Memorandum Amount" when an annuity is stopped until the member's re-retirement – and then to incorporate that "Memorandum Amount" into the final benefit calculation		•				
6.	Ability, upon stopping an annuity, to process (stop/start) all active and retiree benefits appropriately, including automatically generating appropriate communications to TPAs		•				
7.	Ability to reestablish a retiree's account, stop their annuity, and update all appropriate records		•				
8.	Ability to track those retirees working under provisions that permit reemployment without restoration		•				
9.	Ability to fully automate the collection, calculation and communication of the return to work provisions process	•	•				
10.	Ability to, upon determination of an invalid retirement, retroactively re-enroll the retiree in both the WRS and other insurance coverage where applicable, and apply appropriate credits or debits to the employee's account and the employer's invoice		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	OUTPUTS						
11.	Ability to generate correspondence to retired member returning to work to explain the adjustment that will be made to their future annuity based on the retirement benefits previously paid	•	•				
12.	Ability to automatically generate correspondence to member confirming return to work	•	•				
13.	Ability to automatically generate correspondence informing retiree considering returning to work of applicable law, alternatives and possible effects of decisions	•	•				
14.	Ability to automatically capture the retiree's decision from the new employer		•				
15.	Ability to inform retirees and their potential employers of applicable law, alternatives and possible effects of decisions prior to a reemployment decision	•	•				
16.	Ability to automatically generate correspondence to employers asking for supplemental employment information	•	•				
	CONTROL						
17.	Ability to apply system-, program-, and/or group-specific standards and conditions in event of return to work		•				
18.	Ability to automatically apply appropriate business rules when a retiree decides to return to work		•				
19.	Ability to determine, for a member, if a prior retirement exists and what the status of that retirement is at the time of re-employment or return to work		•				
20.	Ability to identify if a member has multiple accounts when returning to work to be sure to process the correct account		•				
21.	Ability to notify reciprocal system staff when a retired member of a reciprocal system begins to accrue benefits associated with the ETF system		•				
22.	Ability to track and report on the status of all retirees who have returned to work, regardless of whether they chose to re-participate or not		•				
23.	Ability to, in the event of the passage of a “critical shortage rule,” track those retirees working under that rule or other such legislation that creates a special case		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
24.	Ability to ensure that, depending on the rehired employee's election, the member's insurance benefits are based on the current status, i.e., remain as retiree health or life insurance or change to active employee status		•				

E.4.1.25 SICK LEAVE CONVERSION CREDIT

As noted in Section B.1.1.2.4, Wisconsin state law supports two distinct programs that permit retiring employees of state employers to convert accumulated sick leave into retiree health insurance:

- The Accumulated Sick Leave Conversion Credit (ASLCC) program allows any state employee who retires with accumulated sick leave to draw against that leave to pay for their ETF-provided health insurance. Once the sick leave account has been drawn down to zero, retirees then pick up the responsibility for payment of their premiums, typically through deductions from their benefit payment
- In addition, the Supplemental Health Insurance Conversion Credits (SHICC) program provides supplementary (to those accumulated under the ASLCC program) sick leave credits that provide additional funds that are also available for conversion upon an employee's retirement, layoff, or death. These supplemental credits are determined by a formula computing the employee's number of full years of continuous service and sick leave balance on the date of retirement, layoff or death, and consideration of the employee's retirement category (general, executive or protective). The SHICC program's sole purpose is to provide a benefit that will pay health insurance premiums once the ASLCC credits are exhausted.

The table below outlines the requirements for sick leave conversion credit.

Table 66 Functional Requirements for Sick Leave Conversion Credit

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to store employer contribution rates at employer and program level (e.g. Department of Public Instruction 'DPI') with effective dates		•				
2.	Ability to record detailed ASLCC and SHICC transactions for employer contributions and employee sick leave balances and rate of pay			•			
3.	Ability to collect and amend "final" employer certification of ASLCC and SHICC quantities for terminating employees		•				
4.	Ability to setup ASLCC and SHICC credit balances without going through the retirement process		•				
	PROCESSES						
5.	Ability to handle employer reporting of accumulated sick leave balances and other components of the employee record necessary to perform the ASLCC and SHICC calculations combined with the periodic employer reporting of service and contributions		•				
6.	Ability to allocate employer ASLCC and SHICC contributions and record receipts in proper fund		•				
7.	Ability to include employer paid ASLCC and SHICC contributions in any employment termination calculations and report accurately on a W-2 and IRS tax files		•				
8.	Ability to apply available sick leave credits to retiree or other benefit recipient health insurance billing not to exceed amount of premium		•				
9.	Ability to allow two (2) members that are married or domestic partners to combine their ASLCC and SHICC and apply it to a single health insurance contract		•				
10.	Ability to automatically maintain the accounting (including escrow and adjustments) that allows ETF to draw down the ASLCC benefit in an account before starting on the SHICC draw-down – and to report on the status of same	•	•				
11.	Ability to allow a member to combine two or more ASLCC and SHICC and apply it to a single health insurance contract		•				
12.	Ability to allow the splitting of an ASLCC and SHICC benefit and apply it to multiple health insurance contracts		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
13.	Ability to use ASLCC and SHICC to pay premiums to either ETF's self-insured program or an outside insurance carrier		•				
14.	Ability to adjust for over- and underpayment of premiums (month following)		•				
15.	Ability to transfer ASLCC and SHICC to eligible survivors upon the member's death		•				
16.	Ability to apply multiple employment categories in the calculation of SHICC credit		•				
17.	Ability to roll up ASLCC and SHICC payments on a periodic basis and feed to the GL		•				
	OUTPUTS						
18.	Ability to generate benefit estimates using different benefit and program options	•	•				
19.	Ability to generate ASLCC and SHICC final benefit calculation at termination (if applicable)	•	•				
20.	Ability to provide statistical reporting – available credit, applied credit, etc.	•	•				
21.	Ability to provide census data for actuary		•				
22.	Ability to automatically generate periodic correspondence concerning status of ASLCC and SHICC balances and account status to member	•	•				
	CONTROL						
23.	Ability to automatically reconcile as part of the employer reporting portal the employer- and ETF-calculated ASLCC and SHICC balances		•				
	METRICS						
24.	Ability to enumerate and report against and run trend analyses on account status and balances by account type (preserved, ASLCC, SHICC, etc.) for individual members, employers, or across the system		•				

E.4.1.26 TAX REPORTING

This section outlines requirements for tax reporting. The proposed solution must be able to calculate, create, and transfer all tax information to the Department of Revenue and to the IRS. In all instances where the requirements below state 1099-R, the requirements also include the federal (e.g., W-2 and/or Non-Resident Alien 1042) and State of Wisconsin forms.

Table 67 Functional Requirements for Tax Reporting

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture and maintain a payee's single or multiple requested tax withholding changes effective on specified future date(s)	•	•				
2.	Ability to capture and maintain alternate address for mailing of Form 1099-R, W-2, and other forms without changing the recipient's permanent address	•	•				
3.	Ability to capture (and calculate if specified as a capped percentage) amount, start-date, and end-date associated with a tax levy on a member's benefit		•				
4.	Ability to capture, maintain, and apply federal and state tax table information with both retroactive and future effective dating		•				
5.	Ability to capture returned / re-deposited benefit payments (either the originally issued payment or a personal check submitted as repayment for the original payment)		•				
6.	Ability to permit members to change their withholding via IVR and portal as well as paper forms	•	•				
	PROCESSES						
7.	Ability to monitor the usage / depletion of a member's Investment in Contract (IIC) balance which is recouped through an exclusion ratio using IRS simplified (or other) method		•				
8.	Ability to automatically generate (in the event that a revised or corrected Form 1099-R, W-2, or other tax form is issued) a tax information correspondence to the member providing details of the correction		•				
9.	Ability for user having appropriate 'role' (e.g., "auditor") to make corrections to Form 1099-R, W-2, or other tax form information		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
10.	Ability to automatically force the recalculation of a corrected 1099-R, W-2, or other tax form) when contributing data has been changed		•				
11.	Ability to accommodate both the "General Rule" and "Simplified General Rule" taxation methods		•				
12.	Ability to accommodate Safe Harbor calculations		•				
13.	Ability to accommodate tax levies, garnishments, bankruptcy, etc.		•				
14.	Ability to accommodate the waiving of tax withholding		•				
15.	Ability to assign distribution codes according to IRS regulations		•				
16.	Ability to automatically adjust the tax liability (FWT and state withholding tax) when an adjustment is made to a payee's benefit amount		•				
17.	Ability to calculate and apply deductions attributable to a tax levy		•				
18.	Ability to correctly calculate and withhold taxes based on federal and state tax tables, including the calculation of taxes for prior years		•				
19.	Ability to comply with IRS and Wisconsin Department of Revenue regulations and reporting requirements, including content, format and timing of file transmissions		•				
20.	Ability to correctly calculate and accumulate those amounts that are required to be included on Form 1099-R and/or W-2		•				
21.	Ability to create, maintain, monitor, and control tax withholding for IRS and state tax authority reporting, including facilitating and tracking the transfer of Federal Withholding Tax (FWT) payments to the IRS and state withholding tax to state tax authority		•				
22.	Ability to deduct, store and report taxes by payment type (lump sum, beneficiaries, etc.)		•				
23.	Ability to generate and edit IRS Form 945 (*Annual Return of Withheld Federal Income Tax*) and all other Federal and corresponding state tax authority forms to accommodate corrections spanning multiple calendar years.		•				
24.	Ability to generate, retain and export (to Excel, Access, etc.) both initial and subsequent correction 1099-R, W-2, or other tax data files for the IRS and state tax authority containing all required information, and to reconcile these files against the data source and the accounting package		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
25.	Ability to automatically generate a detailed breakdown (Benefit Verification Form) of all transactions that were included in any given Form 1099-R when a member questions the information; this breakdown shall be available to both ETF staff and to the member via the Web	•	•				
26.	Ability to generate a file of annual (and recalculated as necessary) 1099-R information and corresponding 1099-R, 940 and 941 forms to the State and the IRS		•				
27.	Ability to generate a tax withholding file for the IRS and state tax authority		•				
28.	Ability to generate an accurate facsimile of any given Form 1099-R and other tax forms via the Web	•	•				
29.	Ability to generate and retain revised Form 1099-Rs and other tax forms issued between the original run and the date the information was sent to the IRS and state tax authority	•	•				
30.	Ability to generate, retain, and reprint the original Form 1099-Rs and other tax forms	•	•				
31.	Ability to generate and send reprints of Form 1099-Rs and other tax forms to an alternate Form 1099-R and other tax forms address		•				
32.	Ability to generate individual Form 1099-Rs and other tax forms on an “as-needed” basis		•				
33.	Ability to generate individual Form 1099-Rs and other tax forms through the scheduling of an unattended process for mass production of all Form 1099-Rs and other tax forms, or a subset of Form 1099-Rs and other tax forms based on various selection criteria, as required by ETF		•				
34.	Ability to generate multiple Form 1099-Rs and other tax forms to a single payee		•				
35.	Ability to query, generate, and export reports on all types of tax information: such as by Social Security number, year, distribution code, payment type, etc.		•				
36.	Ability to handle all tax-related information from all processes in which payments are issued, returned or adjusted and transmit appropriate information to the Financial Management system in order to create corresponding journal entries		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
37.	Ability to identify and correctly calculate the tax consequences of both tax-deferred and non-tax-deferred transactions		•				
38.	Ability to identify returned / re-deposited benefit payments (either the originally issued payment or a personal check submitted as repayment for the original payment) and automatically correct the tax records associated with the returned / re-deposited payment		•				
39.	Ability to implement a payee's tax withholding changes entered against a future date at the appropriate time		•				
40.	Ability to maintain each member's pre-tax dollars, rolled-over funds, and recovered contributions		•				
41.	Ability to create and maintain the tax files submitted to the IRS and state tax authority regulations		•				
42.	Ability to pass tax transactions, at user defined timeframes, to the Financial Management system		•				
43.	Ability to process taxes for out-of-country addresses		•				
44.	Ability to produce IRS tax publication explanation for inclusion with the transmitted 1099-R and other tax forms		•				
45.	Ability to provide a tax withholding "scratch pad" functionality so that users / members can interactively examine the tax implications of various tax withholding scenarios and subsequently submit any changes they choose	•	•				
46.	Ability to recognize, combine and report like distribution codes for a payee on one Form 1099-R (e.g., two rollovers, two monthly benefits.)			•			
47.	Ability to retain and display / print (auto-populating where appropriate) multiple versions of IRS forms according to tax year		•				
48.	Ability to transmit funds corresponding to IRS and state tax authority tax withholding files and according to IRS and state tax authority disbursement rules		•				
49.	Ability to reconcile, **by account and fund**, the aggregate amount withheld from all benefit payments (including "manual" and "one-of" payments) issued during a pay period against the amount calculated to be submitted to tax authorities		•				
50.	Ability to determine federal and state taxability, reportability, and withholding requirements of all ETF distributions and other (noncash) taxable events. (e.g. arrears payments)		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
51.	Ability to identify distribution options and tax consequences/choices for each customer for multiple benefits		•				
52.	Ability to provide sufficient flexibility to accommodate future changes to tax laws (Internal Revenue Code, Wisconsin Tax Code, regulations, private letter rulings, etc.), for example, taxable & nontaxable distributions, eligibility to rollover, minimum rollover amount, withholding rates, electronic notification, etc.		•				
53.	Ability to, in the case of benefit recipients who receive a benefit but do not receive a 1099-R (benefit is tax-exempt), capture and display data that would appear on 1099-R if one were created (i.e., facilitate income verification process)		•				
54.	Ability to automate 1099-R and other tax forms original or reprint requests through portal (without intervention from tax unit) and keep statistics to generate audit reports	•	•				
55.	Ability to automate Investment in Contract (IIC) adjustments, e.g., those associated with QDRO splits		•				
56.	Ability to calculate taxable portion of a partially taxable benefit (e.g., fallen heroes and Income Continuation Insurance)		•				
57.	Ability to ensure no negative amounts appear in any federal or state tax fields		•				
58.	Ability to identify distributions subject to additional penalty based on age or benefit type (e.g., alternate payee paid a separation benefit from a QDRO of the former domestic partner)		•				
59.	Ability to refund to benefit recipients federal and state income tax withheld for current tax (calendar) year		•				
60.	Ability for the system to automatically identify all customer-related transactions with taxable implications so that all 1099-Rs and other tax forms for the current and prior years are properly corrected / generated		•				
61.	Ability to automatically maintain and correctly report the taxable portion of a member's lump sum or monthly benefit based on voluntary employee additional contributions (regular and tax-deferred) and employer additional contributions		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	OUTPUTS						
62.	Ability to capture and support member's preferred distribution method (e.g., email, fax, print) for Form 1099-Rs in accordance with IRS regulations	•	•				
63.	Ability to produce an appropriate 1099-R and other tax forms for any disbursement or other transaction that has an applicable tax consequence.		•				
64.	Ability to report the excluded amount (e.g., investment in contract amount excluded per calendar year) to be included on the 1099-R		•				
65.	Ability to automate all tax correspondence		•				
	CONTROL						
66.	Ability to track who made a tax adjustment and when and why that tax adjustment was made		•				

E.4.1.27 THIRD PARTY

This section outlines requirements related to third parties, typically TPAs of programs offered by ETF, but also other third parties with which ETF maintains a relationship that calls for the automated exchange of data and, under the appropriate security conditions, manipulation/maintenance of data in the ETF system. Examples of third parties are the self-funded Standard Plans and the Pharmacy Benefit Manager (PBM). Conceptually, any subsystem that is used by third parties to submit and maintain ETF customer data such as instructions for the withholding of health insurance deductions, union dues, Medicare credits, etc., is very similar to that used for Employer Reporting. Therefore, ETF has chosen not to duplicate the requirements listed under Employer Reporting for the submission of names of those receiving benefits, amounts to be withheld, etc. The requirements below augment those provided under Employer Reporting.

Table 68 Functional Requirements for Third Party

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture, maintain, and delete third party demographic information, Health Plan annual report card score, as well as modify third party contract parameters based upon effective dates		•				
2.	Ability to capture and store benefit program-related member attributes including, but not limited, to dependents, date of birth and death, status as fulltime student, Medicare eligibility, Coordination of Benefits (COB), disability status, plan, etc.		•				
3.	Ability to capture, store and maintain benefit program-related codes, coverage amounts, premiums, history, etc.		•				
4.	Ability to import data in a desired format received electronically from third parties; a dynamic data import feature that can be used to help facilitate this process (setup, use and maintenance) would be preferred		•				
5.	Ability to permit ETF overrides of third party submissions to ensure eventual acceptance of the submission		•				
6.	Ability to permit third party to easily perform across-the-board rate changes, e.g., increase monthly premiums		•				
7.	Ability to receive, manage, and apply Low Income Subsidy (LIS), Early Retiree Reimbursement Program (ERRP), and Late Enrollment Penalty (LEP), etc., adjustments to member benefit payments		•				
	PROCESSES						
8.	Ability to store and apply third party credits and deductions and update coverage based on changes and “life events”		•				
9.	Ability to provide an option for withholding, at member level, for health and other insurance premiums and produce appropriate third party bank transactions and files		•				
10.	Ability to provide functionality for billing of insurance premiums for customers currently on direct pay (insurance premiums billed by insurance carriers)		•				
11.	Ability to support interfaces to multiple insurance carriers based on effective dates and provide the necessary data (e.g., Medicare eligibility, COBRA)		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
12.	Ability to validate and apply reasonableness checks specific to ETF benefit recipients to each third party deduction request as part of the third party's submission		•				
13.	Ability to permit ETF to automatically adjust third party-specified deductions in the case of a terminated or suspended benefit		•				
14.	Ability to permit a third party (**under strict controls**) to access and update member information (such as beneficiaries) within the BAS system		•				
15.	Ability to permit a third party administrator (**under strict controls**) to process applications for benefits and request payment of benefits via the BAS		•				
16.	Ability to automatically support data exchange programs such as the Medicare Voluntary Data Sharing Agreement (VDSA), various Federal and Wisconsin State agencies, ETF's actuaries, etc.		•				
17.	Ability to facilitate communications between third parties and employers and other third parties for purposes such as status of plan grievances, complaints, benefit overpayments, death reports, etc.		•				
18.	Ability to access, in real time, plan and program information from third party portals (e.g., provider network listing, formulary, etc.)	•	•				
19.	Ability to extract information regarding benefit complaints from the third party record in the BAS database to utilize for board reports and monitoring TPA performance		•				
	OUTPUTS						
20.	Ability to automatically produce life event-driven correspondence to members regarding benefit programs such as life insurance coverage, medical insurance eligibility, Medicare, COBRA, pharmacy, etc.		•				
21.	Ability to extract data in a desired format and then transmit it electronically to third parties; a dynamic data extract feature that can be used to help facilitate this process (setup, use and maintenance) would be preferred		•				
	CONTROL						
22.	Ability to provide sufficient information to reconcile monthly statements		•				
23.	Ability to assign a unique identifier to each third party and to use that identifier in all interactions with the third party		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	METRICS						
24.	Ability to extract third-party related information from ombudsperson complaint database and use in evaluation of member satisfaction with third party performance		•				

E.4.2 DESIRED "TO BE" SUPPORTING BUSINESS FUNCTIONALITY

E.4.2.1 AUDIT AND SECURITY

The term "audit" can mean multiple things. Within the general functional requirements being required of the new system additions, changes, and modifications must be traceable by username, date, etc. An "audit," in an additional context, refers to the process whereby ETF staff reviews a member's account (e.g., wage, service, and contribution history) and makes adjustments (particularly to converted data) to pay period dates, compensation, service, and contributions so that the BAS application can correctly calculate service credit, refunds, transfers, and Final Average Earnings (FAE). Alternatively, an "audit" can also mean checking or auditing another ETF staff member's work for accuracy and completeness. The objective of employing an audit indicator is to avoid any redundant audit activities on the part of ETF staff. Vendors should understand and be able to differentiate these functional requirements.

The requirements in the table below relate to both audit (as discussed above) requirements and those related to security in the new BAS solution.

Table 69 Functional Requirements for Audit and Security

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture an audit (review) transaction on all ETF specified transactions		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
2.	Ability to capture designation of customer capabilities / security levels (e.g., add, change, inquiry, delete)		•				
3.	Ability to capture user permissions to determine how far back in time a user can post a transaction; only certain users should be able to post to a closed month		•				
4.	Ability to capture and display comments (e.g., transaction level, account folder level, etc.) and the ability to restrict comment updates to the users or supervisors who created the comment			•			
5.	Ability to log all activity, associating a user ID, IP address, name and date/time with each log entry		•				
6.	Ability for appropriate staff to create, modify, delete and administer users through a standard interface		•				
7.	Ability to manage all customer access to the system through a single security mechanism, so that logging into the IVR or the web portal requires that the member remember only one password and/or PIN	•	•				
	PROCESSES						
8.	Ability for reviewer, if any errors / irregularities are detected, to correct the problem him/herself or to send the transaction back to the originator for re-work (at the reviewer's discretion)		•				
9.	Ability for the system to adhere to ETF standards with regard to user-id and password administration, frequency of changing passwords, etc.		•				
10.	Ability to notify customers of any ETF-selected transactions/changes which have been made to their account		•				
11.	Ability for the system to monitor and act upon the number of successful and unsuccessful access attempts and to create audit trails showing these events		•				
12.	Ability for the system to retain both before and after images of changes		•				
13.	Ability for the system to set up, maintain and monitor roles and responsibility for system management, usage, and maintenance		•				
14.	Ability to assign multiple roles to an individual		•				
15.	Ability for the system to support data classification levels (public, protected, and private)		•				
16.	Ability for Web-based applications to be secured based on industry standards and ETF encryption policies / procedures		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
17.	Ability to adhere to ETF security policies, standards, procedures, etc.		•				
18.	Ability to assign access to a user for a pre-defined period of time for that role		•				
19.	Ability to assign appropriate priority levels / dates for review of work / audit		•				
20.	Ability to audit member accounts randomly (with or without a triggering event) and flag and record the fact the account was audited, the date it was audited, and the time period/transactions audited, and by whom (internal auditor, external auditors, <OTHER AGENCIES>, etc.).		•				
21.	Ability to prevent all processes (including unattended ones) from terminating abnormally when encountering a "locked" member account and automatically generate a report of all unattended processes that encountered a locked account, that identifies the account against which the update was attempted and the source of the data		•				
22.	Ability to capture the event (and generate a report) when an unattended process attempts to update a locked account, indicating the account was not updated due to the lock, the date the lock was effective, and the user-id of the person who locked the account		•				
23.	Ability to ensure data security measures are employed to prevent unauthorized access of data and/or changes to it		•				
24.	Ability to ensure that a locked account will remain locked until the same user-id that locked it unlocks it; the only exception being that a designated user will have the authority to unlock any locked account		•				
25.	Ability to ensure that all locked accounts will be “stamped” with the date, time, and user-id of the person who locked and unlocked it		•				
26.	Ability to ensure that for all transactions in which a user changes the status of a check to “void” the transaction is reviewed and approved by a different user having appropriate system permissions before it is committed to the database		•				
27.	Ability to ensure that in no event will an unattended process that attempts to update a locked account terminate abnormally for that reason		•				
28.	Ability to ensure that no audit trail data can be deleted		•				
29.	Ability to ensure that security profiles are protected from unauthorized access		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
30.	Ability to extract audit log information for display and reporting purposes and ability to filter selected data from audit log files to generate meaningful and useful security reports		•				
31.	Ability for the audit trail to track changes made to the data regardless of the means by which the change was made – i.e., BAS solutions, processes, employer or member portal, etc.		•				
32.	Ability to generate audit report(s) identifying all people, processes, dates, and/or times involved in changing member and employer data		•				
33.	Ability to lock an account (in the event of stolen identity, divorce, QDRO, child support, court order, etc.) and record the reason why it is locked, the user id of the user who locked (and later unlocked) it and the date/time on which it was locked, and generate reports on same		•				
34.	Ability to setup, maintain and monitor web/portal access and to log an external user off the system after a user-definable period of inactivity (example: 10 minute timeout) as specified by ETF		•				
35.	Ability to maintain a historical record of user-ids issued, including the identity of the person associated with the user-id and the timeframe during which the user-id is/was valid		•				
36.	Ability to maintain an audit trail of all access to data which indicates all user access and specifies the nature and date of that data access		•				
37.	Ability to maintain electronic audit trails sufficient to trace all transactions from original source of entry into the system, through all system processing, to the results produced by the system and to trace all transactions from the final results produced by the system, through all system processing, back to the original source of entry into the system; these audit trails must be protected from modification and deletion		•				
38.	Ability to produce an audit trail report of all configuration and/or program code changes (date, time, version, change that was made, workstations, and author)		•				
39.	Ability to alert System/Security Administrator in the case of security breaches, or other defined events or triggers (violations, access to sensitive files, etc.) and produce periodic and ad hoc reports on those events		•				
40.	Ability to prompt a person with a “challenge phrase” after a user-definable number of unsuccessful log-on attempts or offer other self-initiated account recovery mechanism		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
41.	Ability to provide a security report listing users, their roles and security access, etc.		•				
42.	Ability to provide a single integrated user logon into all applications regardless of the number of sub-systems that are being connected (imaging, workflow, etc.) in accordance with ETF standards		•				
43.	Ability to provide access rules and role assignment which will restrict departmental employees from performing incompatible functions or functions beyond their responsibility		•				
44.	Ability to provide an "account locking" capability such that an appropriately authorized user will be able to lock a benefit recipient's account from ANY update, either online or via an unattended process; if a user attempts to modify data in a locked account, display a message indicating the account is locked, by which user-id, and as of what date		•				
45.	Ability to provide an automated means of processing a previously locked account after the lock is removed such that "suspended" data (including document-initiated workflows) will not have to be re-entered; provide a capability for users to remove such data that was locked at any time prior to update		•				
46.	Ability to provide appropriate security surrounding electronic, digital and digitized signatures		•				
47.	Ability to provide data audit trails such that ETF can quickly identify to the lowest level of detail the composition of all totals, subtotals, and grand totals displayed or reported by the benefits administration system		•				
48.	Ability to provide encryption that must be used for protected and private information that will be stored in a non-secure location or transmitted over open networks, such as the Web		•				
49.	Ability to provide formatted audit reports that show (for user-selected userids, date-range, and/or members [selected by last name, social security number, or other unique identifier]) all changes made to member records, including before and after images; an "all" members option must be included		•				
50.	Ability to provide special screens and alert notifications for sensitive data so users are aware of confidentiality (e.g., disability screens, ETF staff, various account flag settings)		•				
51.	Ability to provide standard interfaces to maintain security permissions and reporting		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
52.	Ability to add new document images to the folder of a member whose account is locked but prevent deletion of images from the folder of a member whose account is locked and to indicate in some manner that the new images have not been acted upon		•				
53.	Ability to provide unique user identification and automatic log-off		•				
54.	Ability to provide various levels of security and adhere to defined security structures, including network security, application security (process, transaction, page, field, data element), development environment security, and Web-access security – with procedures for support and maintenance for each		•				
55.	Ability to restrict access to system by user identification and passwords, at a minimum		•				
56.	Ability to require multiple levels of authentication including two-factor authentication		•				
57.	Ability to retain passwords already used by a user and prevent their re-use (may be satisfied through integration with a directory service)		•				
58.	Ability to run ad hoc reports of audit trail history by transaction type, transaction date, input date or any of the fields related to the audit trail records		•				
59.	Ability to send a transaction to a reviewer for audit		•				
60.	Ability to support personal identification numbers (PINs) for security purposes		•				
61.	Ability to track all transactions posted to a closed month, including the user-id making the change and the date of the transaction		•				
62.	Ability to track sign-on access from another computer by user-id		•				
63.	Ability to track all updates that are made to data validation and edit checks		•				
64.	Ability to, at a minimum, provide the following controls: data access, menu access, screen access, screen function access, transaction access, transaction approval access, workstation location access, workstation time restriction (may be satisfied through integration with a directory service)		•				
65.	Ability for the system to adhere to the Health Insurance Portability and Accountability Act (HIPAA)		•				
66.	Ability for internal auditors to audit account transactions		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
67.	Ability to display, query and print the history of all changes		•				
68.	Ability to mask the display of the SSN (to the last four digits) on all screens		•				
69.	Ability to mask the display of any field based on a security profile			•			
70.	Ability to see that a member account is "locked" and why at the time that it is accessed		•				
71.	Ability to provide customers as well as internal users with password and user id recovery		•				
72.	Ability to require authentication and support multiple possible means of authentication such as PIN, password, finger-print and/or retinal-scan capability		•				
73.	Ability to perform timely recertification reports of internal and external users, roles, intra bureau authorizations		•				
74.	Ability to automatically turn off certain communication features and/or flag accounts, in the case of death of a member, QDRO, divorce, etc.		•				
	OUTPUTS						
75.	Ability, at the time an audit function is invoked for a particular account, to display on the screen, the date range(s) for which audits have already been conducted and by whom, i.e., "Account has been audited for mm/dd/yyyy through mm/dd/yyyy." Multiple audit periods must be so accommodated.		•				
76.	Ability to perform ad hoc queries against audit logs and data		•				
	CONTROL						
77.	Ability to encrypt any information ETF deems appropriate (including system security and role-related information)		•				
78.	Ability to establish and set up Web-/portal-based application screens as either (able to browse back to a screen after going to a new screen) or as (a time-out / life span of zero screen, i.e., prevent navigating back to a screen)			•			
79.	Ability to prohibit staff members from updating records with their own information (by Social Security number, name, etc.). Such updates shall be permitted by any customers entering through an authorizing interface		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
80.	Ability to provide adequate audit trails of system updates, including appropriate change controls requiring management approval of any software modifications or changes prior to implementation		•				
81.	Ability to ensure that all transactions (including view-only access) have a user ID and transaction date associated with them		•				
82.	Ability to provide applicable levels of internal controls and appropriate segregation of duties, including for example, the ability to approve any activity's results as well as any correspondence to be sent or printed		•				
83.	Ability to unset an audited (verified) account flag if data within the audited period changes.		•				
84.	Ability to ensure there are sufficient management controls in place to prevent a user from deleting a plan, even if empty of members. (This is because even empty plans have historical data associated with them; their deletion makes impossible the reconstruction of historical data from when the now-empty plan contained active members.) However, the empty plan should have a flag that prohibits the assignment of new members unless the plan is reactivated		•				
85.	Ability to modify or roll back transactions in the BAS must be role-based and an audit log maintained of any such activity		•				
86.	Ability to provide role-based access to data in order to run ad hoc queries against that data		•				
87.	Ability to monitor and report on all internal and external users' (including developers' and system administrators') access rights individually or en masse		•				

E.4.2.2 GENERAL

The following section presents requirements that span functional areas. In particular, the vendor is reminded that the proposed solution must allow for overrides/corrections/reversals of system-calculated (or otherwise provided) results.

Several of the requirements below specify address validation and list a number of services that support this capability in the United States. In their response, the vendor is required to discuss their use of such tools in other installations – and the means they have used for validation of international addresses.

Table 70 Functional Requirements for General

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to record receipt of all process-specific forms received throughout any process (for example, in the death process, death certificate, next-of-kin affidavit, annuity election application, tax forms, rollover form, etc.) and to automatically generate correspondence to the sender acknowledging receipt (but not necessarily acceptance), and initiate any further necessary follow-up action		•				
2.	Ability to capture pertinent information from each received document/form either electronically or through use of double blind key entry	•	•				
3.	Ability to capture, follow through on, respond to, track, and report on requests for service, information, assistance, etc., from customers who do not have a customer record in the system – but have a real need for problem resolution		•				
4.	Ability to capture and accept digital signatures that conform to federal and state statutes	•	•				
5.	Ability to capture manual notes at a variety of levels within the database structure including (but not limited to) member and workflow work items and to provide adequate security as defined by ETF to meet ETF ombuds staff requirements or HIPAA requirements for notes on medical records		•				
6.	Ability to support the exchange of data with external data sources that meet ETF's data format and communication requirements		•				
7.	Ability to store and update (country-specific) international income taxation code (country code in ETF parlance) at the same time that an international address is entered (along with an effective date)		•				
8.	Ability to add, update, delete international as well as domestic addresses		•				
9.	Ability to capture, maintain, inquire, and print the following address types for a customer: multiple email addresses, multiple mailing addresses, bank address, electronic transfer address (routing number), power-of-attorney address, MD address, hospital address, attorney address, guardian address, temporary addresses, beneficiary address, and alternate contact address, etc. that are effective dated; dates for each address can be customer-defined and updated; require entry of at least one postal address	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
10.	Ability to capture, maintain, inquire, etc., home, work, fax, mobile, SMS-capable, etc., telephone numbers	•	•				
11.	Ability to automatically, periodically validate (and check against the NCOA database) all customer addresses and phone numbers		•				
12.	Ability to validate postal addresses on all correspondence prior to printing the piece of correspondence		•				
13.	Ability to automatically perform and communicate “real-time” validations and the return of entry errors on customer interfaces and the revalidation of "real-time" corrections – all based on business and logic rules	•	•				
14.	Ability to validate addresses in real time via a web-service	•	•				
15.	Ability to capture and maintain valid data values by field and specify date effective and date no longer effective		•				
16.	Ability to support a “save in process” capability for incomplete data entry so that a saved session can later be recalled and completed	•	•				
17.	Ability to automatically acknowledge acceptance (form is correct, information complete, etc.) of a received document in process (if appropriate in the context of a particular business process)	•	•				
18.	Ability to support adequate field lengths in all database fields		•				
19.	Ability to accommodate alternative naming conventions, e.g., hyphenated names, special characters, single name		•				
20.	Ability to create and maintain a record for a person who is not a member of ETF. Examples include spouses, beneficiaries, survivors, health and life insurance recipients, etc.	•	•				
21.	Ability to provide an electronic means of replacing notarization of signatures, whether through UserID and PIN or some other method (to be described), such that all interactions with members and third parties can be accomplished electronically	•	•				
22.	Ability, when doing extensive data entry from forms, to do a provisional save before all the data from the form has been entered – and to later return to data entry for that form when the issue that caused the need for the provisional save has been resolved	•	•				
23.	Ability to perform double key entry validation/verification process on all ETF- or TPA-entered data to ensure accuracy		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	PROCESSES						
24.	Ability to provide secure remote / Web access to the BAS for any out-of-office work including member sessions, seminars, workshops, work at home, remote location, Continuity of Operations (COOP), etc.	•	•				
25.	Ability for the reviewer to assign a reason for the return of the work item (i.e., error, inquiry, or additional information required)		•				
26.	Ability to automatically identify those accounts/processes where no response was received from a follow-up correspondence after an ETF-defined time period and provide appropriate (often automated) follow-up / notification		•				
27.	Ability to track the distribution, turn-around, and processing of each document used in any processing		•				
28.	Ability to (automatically where possible) add reason code and/or notes and type of adjustment for a benefit adjustment		•				
29.	Ability to accept and process submitted requests received through a Web portal	•	•				
30.	Ability to accommodate years in which there may be 27 rather than 26 pay periods due to the accumulation of days which do not fit into 26 pay periods		•				
31.	Ability to accommodate multiple parameters that vary among programs, funds, employers, etc. (Note that the vendor should enumerate in their response any parameters that ETF might reasonably expect to be accommodated which are not.)		•				
32.	Ability to add a new plan or program to the system, to modify an existing program including versioning of the program), and to close/delete/ archive an existing program from the system		•				
33.	Ability to allow customers to access their account data via the Web	•	•				
34.	Ability to calculate the customer's "age" within the system for various purposes		•				
35.	Ability to close existing programs to new members, to later reopen them, and to capture and apply the dates of the open and closed periods		•				
36.	Ability to comply with all applicable rules, regulations, statutes, and policies (e.g., ETF, Wisconsin) that are in effect at contract signing		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
37.	Ability to comply with all applicable external Federal rules, regulations, and policies (e.g., HIPAA, IRS, Postal, etc.) that are defined for a period of 24 months after contract signing		•				
38.	Ability to comply with all applicable federal and state tax laws and statutes		•				
39.	Ability to control result of locking an account – e.g., allow the addition of images to the folder of a member whose account is locked while not allowing data changes or deletion of images; alternatively, prohibit addition / deletion of images and data changes to a locked account		•				
40.	Ability to create queries using standard English language requests		•				
41.	Ability to enter data into the system and set its status to “pending” (also keep its status of “pending” in workflow) for those cases where a document comes in before the document that should have arrived first to initiate the process		•				
42.	Ability to have and maintain (add, edit and delete using a simple, universal, consistent interface) table driven parameter values with date sensitive and versioning capability along with the ability to maintain pre-defined value lists such as cities, employer codes, table-values (i.e. tax tables, service credit factors, interest rates, actuarial factors, etc.) that are more complex than simple list-values, etc.; the system should be table driven to the maximum extent possible; therefore, tables which contain lists of valid values are to be maintained by a single common interface		•				
43.	Ability to have and maintain code tables, linking system codes to English language descriptors, with effective dates		•				
44.	Ability to maintain and update the schema definitions associated with the data warehouse over time		•				
45.	Ability to maintain employer reporting (per employer), holiday, payroll, closing calendars for processes		•				
46.	Ability to communicate to benefit recipients the expected dates of distribution when that date is other than the first of the month		•				
47.	Ability to match entered data with database values without regard to case – i.e., a system that is NOT case-sensitive		•				
48.	Ability to navigate through screens based on standard Windows and/or browser based navigation		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
49.	Ability to navigate through screens using Hot Keys and retain the key identifier (e.g., hidden unique ID) throughout	•	•				
50.	Ability to pre-populate city and state by first entering the ZIP code and allow for overriding of the city and state, without consequently altering the ZIP code, when necessary	•	•				
51.	Ability to prevent the entry of duplicate transactions, when appropriate		•				
52.	Ability to process business transactions and display information in a concise and consolidated manner so that users avoid having to access numerous screens in order to accomplish their business task		•				
53.	Ability to provide a “mass” data entry capability that will permit users to execute a large number of “like” transactions in a “short-cut” fashion, i.e., mass change (e.g., interest) based on query		•				
54.	Ability to provide a common error handling mechanism, including error correction, recovery processing, and related quality control procedures and processes		•				
55.	Ability to provide data quality determination and analysis		•				
56.	Ability to query and display the history of changes, showing before and after values, as well as when the change was made and by whom		•				
57.	Ability to restore archived data or specific customers or groups of customers, and/or based on distinct time periods		•				
58.	Ability to store, retrieve, display, and print all parameters used, calculations performed, and corresponding results for all calculations		•				
59.	Ability to subtotal customer history by different time frames (e.g., month, quarter, fiscal and calendar years, rolling time frames, etc.)		•				
60.	Ability to support name in at least five distinct components – title, first, middle, last and suffix		•				
61.	Ability to support various error level severities (warning, fatal, etc.)		•				
62.	Ability to support various types of transaction and status codes throughout the system		•				
63.	Ability to tie the data warehouse (if implemented) to the system’s ad hoc query and reporting functions		•				
64.	Ability to use soundexing, partial field values and/or wild cards for lookups in key fields		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
65.	Ability to maintain a historical list of employer EIN conversion / consolidation		•				
66.	Ability to accommodate (store and apply) future changes (e.g., name change, address change, tax withholdings, direct deposit information, etc.), all with effective dates, as well as search on historic values		•				
67.	Ability to edit/validate incoming data formats from employer and other ETF affiliates (e.g. numeric, field size, physical file attributes, etc.)		•				
68.	Ability to identify and track the status of all people/entities in the database (vested, active, inactive, inactive vested, retired, beneficiary, Survivor's Benefit, etc.)		•				
69.	Ability to search on Social Security number, unique ID, EIN, or name, etc. with the additional capability to use wild card characters		•				
70.	Ability to sort addresses for mass mailings by various values including last name, first name, member ID, elements of address, employer, etc.		•				
71.	Ability to systematically change Social Security offset rate table and wage base table set by the Federal Social Security Administration using an on-line program (this is necessary to calculate Joint Coverage members' contributions after they reach the Social Security maximum salary) and notify employers of new calendar year maximum amount of earnings subject to Social Security		•				
72.	Ability to, upon adding a new program, link it to every module and database that requires information for record keeping, general accounting, and correspondence tracking		•				
73.	Ability to transfer members between programs both on an individual basis (i.e., one member at a time) and en masse (i.e., the user may specify that all existing members of a given program, or all employees working for a particular employer, will be transferred to another existing program)		•				
74.	Ability to enable transfers of service credit or money for an individual or an employer between two plan/programs or retirement systems, etc.		•				
75.	Ability to provide or integrate with NCOA (National Change of Address), Finalist, and CASS (Coding Accuracy Support System)-certified (or similar) address matching software including verification or re-certification along with updates every 90 days at a minimum		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
76.	Ability to utilize the Finalist and CASS (or similar) certified address matching software both during the conversion process (i.e., to validate the addresses being converted) and as a front-end validation at any point an address is either added or modified including through the Web, through the enrollment and demographic maintenance capabilities of the employer reporting process and through routine address maintenance within the BAS overall		•				
77.	Ability to retrieve (using a single query) all archived correspondence (and all imaged records) that meet a single query. That is, the user should not have to make one query to retrieve archived member correspondence and a second to retrieve archived images	•	•				
78.	Ability to provide business area-specific, generally accessible calendaring capability, managing resources, availability, etc., and generating appropriate triggers/reminders	•	•				
79.	Ability to support searches that are not case-sensitive		•				
80.	Ability to maintain any query capability given updates to the BAS schema definitions, possibly by flagging those queries that may not work due to a change in schema		•				
81.	Ability to provide query capability without negatively impacting production environment performance		•				
82.	Ability to use one interface for all ad hoc query and reporting functions thus minimizing training and maintenance costs		•				
83.	Ability to indicate through a colored screen or dialog box or some other such attention-getting capability the existence of a flag on a member account		•				
84.	Ability to include the same data edits, validations, and error handling for data entered through the "Mass update" facility as if the transactions were entered one at a time		•				
	OUTPUTS						
85.	Ability to “age” death benefit accounts for the purpose of automatically generating follow-up correspondence, i.e., a “simple” cover correspondence explaining that a prior correspondence was sent (mm/dd/yyyy) and that ETF is still waiting for a response with a copy of the original correspondence attached		•				
86.	Ability to generate various prefilled (e.g., member, survivor annuitant, beneficiary information) documents	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
87.	Ability to automatically generate and send follow-up correspondence regarding non-receipt of (possibly additional) information a specified number of days after the form or request was sent (include copy of the original form) and the due date	•	•				
88.	Ability to automatically generate acknowledgement of receipt of any of several applications along with any necessary follow-up correspondence to member	•	•				
89.	Ability to display basic member information on all applicable application screens and have the information displayed in various text cases and styles as required		•				
90.	Ability to display monetary amounts in whole dollars or dollars and cents – and the flexibility to perform rounding if desired	•	•				
91.	Ability to provide online, context-sensitive error and help messages/screens	•	•				
92.	Ability to reprint/resend any correspondence on an as needed individual basis in any available format (e.g., paper, email, fax, PDF file)	•	•				
93.	Ability to provide context specific "help text" at the screen element, field, or control level of the application in the form of a “tip,” as well as text that offers assistance to the user in answering “What do I do here?” Text should be accessible by hovering over or right-clicking on the element (must be ADA-compliant)	•	•				
94.	Ability to navigate from field, element, or control level help with a single click to the broader, screen or process level help	•	•				
95.	Ability to support on-line process help tutorials and the provision thereof	•	•				
96.	Ability to provide tools and methods for maintaining version control of on-line help		•				
97.	Ability to support ETF updates, additions and deletions to all forms of on-line help, including the context-sensitive form and the on-line tutorials. Must provide the capability for ETF to augment the actual text or video with links to the relevant vocabulary, rules and policies in relationship to the context – and to change or update those links as necessary		•				
98.	The ability to include on-line help and an area for frequently asked questions (FAQ) on employer and member web self-service screens and processes	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
99.	Ability to store all captured correspondence in immutable format (e.g., 300 dpi TIFF 6.0, PDF A) so that it cannot later be altered in any way		•				
100.	Ability to provide all services (correspondence, face-to-face sessions, Call Center, IVR, etc.) in language(s) other than American English, e.g., Spanish	•		•			
101.	Ability to generate a report of all members whose accounts are flagged with one or more flags		•				
	CONTROL						
102.	Ability to enforce edits on addresses based on postal regulations and have those edits prompt users to follow the standard prior to successful update; also if a user enters a zip code, the system will pre-fill the corresponding city and state (and allow overwriting of same without validation against the ZIP code); the system will ensure synchronization so if a user enters (St., Street, street or st.) the system will convert it to a single standardized format, ST		•				
103.	Ability to provide end-to-end performance monitoring and control		•				
104.	Ability to capture, maintain, inquire and display multiple transactions (address, employment information, etc.) of the same type with effective dates		•				
105.	Ability to support multiple phone numbers and telephone types that are date and time sensitive; dates and/or times for each number can be customer-defined and updated	•	•				
106.	Ability to create wizards that guide the user/customer through the completion of any screen or process	•	•				
107.	Ability to identify and reverse any customer-related operation or set of operations that resulted in a disbursement when the recipient of the disbursement refuses the transaction, e.g., does not cash the check, does not accept the deposit. The automatic reversal must also include the creation of an appropriate audit trail and generation of all appropriate correspondence and notifications to impacted customers			•			
108.	Ability to define flags that can be applied to member accounts to indicate different situations, e.g., existence of a QDRO in this account, VIP whose record is to have restricted handling. Many of these flags will have defined activities that are (or are not) to occur as a result of the applied flag(s). Such activities to be defined at the time of requirements gathering		•				

E.4.2.3 REPORTING, STATISTICAL REPORTING, AND QUERYING

In addition to responding to the specific requirements in the table below, as an Attachment to their technical proposals, vendors should provide samples of reports such as those presented in Figure 21 Sample Production Performance Metrics, Figure 22 Sample Efficiency Performance Metrics, and Figure 23 Sample Accuracy Metrics, on the following pages; the vendor should provide a description of how the data is collected, correlated, manipulated, stored, and presented. In addition, the vendor should provide any other standard reports that would support this functionality.

The new system must include a full, robust statistical analysis and reporting system which is capable of assisting with trend analysis. Since ETF is requiring fully redundant environments (see Section C.5.2 Separate Production, Staging, Development, Test, Training, and Query Environments), the vendor may consider how these environment(s) may be used to support statistical reporting requirements. The reporting system must provide graphical representation (dashboards) of the results being presented for at least three levels of management. Purely as an example:

1. When seeking overall system status, ETF senior management might see that the current overall system throughput is within acceptable bounds for all areas except member benefit processing
2. The director of member benefits, when looking for the status of his or her area, would want more knowledge (than senior managers) made available to him or her about any problem areas within their area of responsibility, and might be shown a dashboard in which disability processing was indicated to be out of acceptable limits
3. And the disability unit's manager, when looking at the dashboard representing status in her or his area would expect to see in which specific area of disability processing a problem existed.

Each of the summary levels must permit drill-down capability to get access to the next level of information while each of the (increasingly specific) detailed levels must be directly accessible to the manager responsible at that level so that they need not always start at the senior management level of reporting.

Embedded in the "Outputs" requirements listed in Table 71 is a list of information that, at a minimum, must be available and maintained in the new system. Each requirement in the list is to be available in a standard report to be produced by the new system. If the vendor has knowledge of additional reports that have been valued at other retirement systems, the vendor should suggest them in its response to this section. Contents of the required statistical reports must also be available in flat-file (comma delimited) format for import into MS Excel or for use by ETF's actuary. For all such report and extract capabilities, the user must be able to specify the reporting level (all ETF employers combined, or a particular reporting entity or plan, or all of them) and the time periods of interest.

In support of the statistical reporting requirements, the vendor must propose to provide the following:

- Development of suitable documentation (both technical and end-user documentation) providing a Data Model View / Understanding of the database for end-users
- Training of both technical staff (four persons) and end-users (10 persons) in how to use the documentation and query tools to locate, extract, manipulate, and report the desired data. Although it is acceptable for such training to be provided by a third party, the training program must not be generic in nature

Note that, in accordance with Section C.5.2, the vendor is required to provide separate production, ad hoc query, training and testing environments. The ad hoc reporting capability must be such that

reports created under it can be run against any of these database environments with little or no modification to the underlying report. For example, a report initially developed to identify members with characteristics appropriate to a test case must be capable of being run against the training (or production) database without cycling through the report and changing each data source or field name.

A final requirement with respect to the ad hoc reporting capability pertains to testing. Ad Hoc reporting must be made available to users (and they must be trained on its use), prior to the start of User Acceptance Testing on any phase of the implementation.

Figure 21 Sample Production Performance Metrics

PRODUCTION METRICS						
	Current Period	Same Period Last Year	% Change	Year-to-Date	Year-to-Date Last Year	% Change
Completed Activities						
Service Retirements						
Disability Retirements						
Service Credit Purchases						
Adjustments						
Membership applications						
Refunds						
Member Inquiries						
Reprint Member Annual Statements						
Reprint 1099-Rs						
Totals						
Backlog						
Number of Service Retirements						
Number of Disability Cases						
Number of Service Credit Purchases						
Number of Adjustments						
Number of Membership Applications						
Number of Refunds						
Number of Member Inquiries						
Reprint Member Annual Statements						
Reprint 1099-Rs						
Totals						
Statistics						
New Members						
Death Claims						
Total Membership						
Miscellaneous						

	W&C Reports Completed						
	W&C Reports in Process						
Other							

Figure 22 Sample Efficiency Performance Metrics

EFFICIENCY METRICS				
		# in Queue at Start of Period	# in Queue at End of Period	# Completed This Period
	Service Retirements			
	Disability Retirements			
	Service Credit Purchases			
	Adjustments			
	Membership applications			
	Refunds			
	Member Inquiries			
	Reprint Member Annual Statements			
	Reprint 1099-Rs			
Totals				

WORKFLOW METRICS					
		Target Cycle Times	Actual Cycle Times		
			Minimum	Maximum	Average
	Service Retirements				
	Disability Retirements				
	Service Credit Purchases				
	Adjustments				
	Membership applications				
	Refunds				
	Member Inquiries				
	Reprint Member Annual Statements				
	Reprint 1099-Rs				

USER METRICS					
		Target Cycle Times	Actual Cycle Times		
			Minimum	Maximum	Average

	Service Retirements				
	Disability Retirements				
	Service Credit Purchases				
	Adjustments				
	Membership applications				
	Refunds				
	Member Inquiries				
	Reprint Member Annual Statements				
	Reprint 1099-Rs				

Figure 23 Sample Accuracy Metrics

ACCURACY METRICS					
		# Completed This Period	# Completed in One Pass	# Requiring Rework	% Correct in Single Pass
	Service Retirements				
	Disability Retirements				
	Service Credit Purchases				
	Adjustments				
	Membership applications				
	Refunds				
	Member Inquiries				
	Reprint Member Annual Statements				
	Reprint 1099-Rs				

Table 71 Functional Requirements for Reporting, Statistical Reporting, and Querying

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to run queries seeking various "slices" of the WRS population, e.g., "All members within two years of possible retirement," "All members who have become members within the past five years," etc., so they may be issued invitations to seminars and other targeted communications		•				
2.	Ability to query system for data and results for a point in time or over specific time periods, e.g., as of 12/31/2003 or during Fiscal Year 2006	•	•				
3.	Ability to provide employers and other authorized third parties with the ability to query against all (and only) the data on their past and current employees that they have supplied	•	•				
	PROCESSES						
4.	Ability to extract accurate actuarial information, especially for those individuals that span multiple programs		•				
5.	Ability for the reporting capabilities to have the same accessibility (hours of operation / access) as the BAS application	•	•				
6.	Ability for the reporting tool (if applicable) to support unlimited ETF user licensing		•				
7.	Ability to access a user-friendly report writer for creating both canned and custom reports with graphics, headers, footers, totals, subtotals, sorting, statistics, etc.		•				
8.	Ability for any authorized user to add new reports to the report menu for easy access		•				
9.	Ability to direct printing of reports/forms/correspondence to selected printers with an established default setting		•				
10.	Ability to include on all reports watermarks and detailed heading information, including version/release number, the date of the last modification of the software that generates the report, the name of the program that generates the report, a unique name for the report, the date of the running of the report, etc.		•				
11.	Ability to print user- or customer-defined watermarks on various types of outputted correspondence		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
12.	Ability to print the requesting user's user-id and the date/time of printing on all reports		•				
13.	Ability to provide a development or query "Library" where users can save and share queries, information, etc.	•	•				
14.	Ability to provide a graphic, drag-and-drop report design environment		•				
15.	Ability to provide a report generation strategy / tool capable of integrating additional data from any other accessible relational data sources into a single report		•				
16.	Ability to provide various online support features ("wizard," help system, etc.) that will take a user step-by-step through a report "building" process		•				
17.	Ability to query on all system data (business relevant, transaction history, log files, etc.) depending on security profiles		•				
18.	Ability to save for future use any valid query developed by any user	•	•				
19.	Ability to select and block-out (redact) any portion of a record for display/printing and identify areas omitted from displayed/printed copy		•				
20.	Ability to select and display/print specific records from a listing of records matching the search criteria	•	•				
21.	Ability to support dynamic content that incorporates drill-down, charts and graphs		•				
22.	Ability to support industry standard multi-dimensional Online Analytical Processing (OLAP) data source extraction, transmission, formatting as it relates to reporting		•				
23.	Ability to support viewing/printing by allowing the user to determine the length of the report prior to viewing/printing (e.g., number of pages)	•	•				
24.	Ability to support report sorting, filtering, and summary report output and save format for future use		•				
25.	Ability to support the creation of reports using relational criteria and logical operators (e.g., less than, greater than, equal to or less than, wild cards, Boolean operators, and combinations of each), including searches against message text and key indexed fields		•				
26.	Ability to support the development of parameter driven reports, where the report variables and format are programmatically controlled and certain values are selected (or required) by the user at the time the report is generated		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
27.	Ability to support the integration of reports with existing applications using industry accepted programming and scripting languages such as: JavaScript, VBScript, COM, XML, etc.			•			
28.	Ability to support the use of various font (font type, font style, font size, etc.) and page layout formatting		•				
29.	Ability to support the viewing of reports that result in large volumes of data by: n Providing a warning of the number of records found n Prompting the user to continue/refine/alter the query n Displaying a single page of data at a time n Limiting the size of the query results n Restricting the amount of time a query can run n Etc.		•				
30.	Ability to terminate a query or report while in process		•				
31.	Ability to track accounts/folders returned from review due to error, inquiry, or need for additional information for staff performance		•				
32.	Ability to view requested reports on the screen prior to printing report, i.e., print preview		•				
33.	Ability to provide an ad hoc query tool that uses a commercially available fourth generation language (4GL), suitable for use by both end users and analysts and programmers to respond quickly to "one time" requirements		•				
34.	Ability to enable the end-user to use data sets (flat files) as input for functions in the ad-hoc query tool including but not limited to match/merge, sorting and reporting, both on “foreign” data sets by themselves and in conjunction with data from the BAS database		•				
35.	Ability to use any data field stored (or a “virtual” (or calculated) field) in the BAS database or a connected relational database from within the ad-hoc query and reporting tool		•				
36.	Ability to support the creation of reports using industry standard SQL		•				
37.	Ability to build sort keys and specifying sort sequences on any data items or fields used for selection criteria in the ad-hoc query tool		•				
38.	Ability to schedule one or more reports to be run unattended		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
39.	Ability to specify a series of reports to be run successively and unattended		•				
	OUTPUTS						
40.	Ability to produce a series of standard reports, on a periodic basis and/or on demand, all of which support "drilling down" to various levels of detail in at least the following areas: n Deaths - Number of deceased active and retiree / beneficiaries during the user selected reporting period n Terminations - Number of members receiving refunds and forfeitures of refunded service during the user specified reporting period n Average Earnings - Calculation of the average pay increase for employees continuously employed during the user specified period n Reconciliation of Demographics - Reconciliation of the current membership population by employer with the membership population from the prior period n Retirements - The number of retirements by type, that occurred during the user selected reporting period n Employees Eligible for Retirement - Number of active members who are eligible for retirement as of the report date n Ages at Retirement - Distribution of retirees according to age classifications at retirement n New Members - Number of new members added during the user selected reporting period n Retirement Benefit Computations - Number of estimates and/or final computations performed during the user selected reporting period n Disability Benefits - Number and type of disability benefits during the user selected reporting period n Percentage of Participation – Percentage of an employer's employees participating in the health insurance program (used to measure compliance) n Health Insurance Enrollment (Population Data) – an annual report breaking down health insurance subscribers (contracts) and members by health plan, employer, age, sex, other demographics. The report would be furnished to the TPAs (health plans, pharmacy benefit manager)		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	n "It's Your Choice" Changes – An annual report showing changes made during the It's Your Choice enrollment period by coverage type, health plan changes, new enrollments. Report furnished to the Group Insurance Board n Employer participation in the Wisconsin Public Employer (WPE, aka local) Group Health Insurance program – A report identifying local employers that either joined or withdrew from ETF's health insurance program, and also those that changed health insurance premium program options. Report furnished annually to the Group Insurance Board and quarterly to TPAs (health plans, pharmacy benefit manager). n Employer participation in the Wisconsin Public Employer (WPE, aka local) Group Income Continuation Insurance (ICI) program – A report identifying local employers that either joined or withdrew from ETF's ICI program. Report furnished annually to the Group Insurance Board n Administrative Review Reports – A quarterly report detailing the types of administrative reviews and resolutions handled by the ombudspersons. Report furnished to the Group Insurance Board. n Purchase of Service - Number of purchases and their costs by type during the user selected reporting period						
41.	Ability to generate, at a minimum, 150 defined and to-be defined reports, 60 defined and to-be defined forms, and 45 defined and to-be defined correspondence (for purposes of calculation, one report, form, correspondence that can be used for various programs will be counted as one report, form, correspondence)		•				
42.	Ability to produce a series of standard reports, on a periodic basis and/or on demand, all of which support "drilling down" to various levels of detail		•				
43.	Ability to export report information to off-the-shelf spreadsheet programs (e.g., Excel, Lotus), in a PDF, ASCII or HTML format, or in a CVS format for mail merge		•				
44.	Ability to query for contact information for various groups of customers (based on one or more customer characteristics) that can be exported for delivery to existing survey tools (i.e., Survey Monkey)		•				
45.	Ability to list, generate, track and report against various types of errors made by various entities that interact with ETF (employers, members, staff, etc.)		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
46.	Ability to send output from a report to: printer, file, screen, portal, tablet, smart phone, and email		•				
47.	Ability to save the results of a query for further (later) use		•				
48.	Ability to appropriately scale output to standard paper sizes and layouts		•				
49.	Ability to use the appropriate user-friendly tools for executing ad-hoc queries and reports against both the production and development, test, training, QA, and query system databases described in Section C.5.2 Separate Production, Staging, Development, Test, Training, and Query Environments	•	•				
50.	Ability to provide multiple statistical reports that cover all the characteristics of the customer-centric data housed within the BAS	•	•				
51.	Ability to produce multiple statistical reports that cover all the characteristics of the process-centric data gathered by the system during normal business processing	•	•				
52.	Ability to meld customer- and process-centric data managed and obtained by the BAS solution with data pulled from TPAs and employers	•	•				
53.	Ability to compare customer- and process-centric data across multiple time periods	•	•				
54.	Ability to produce a report or reports that provide the statistics required by the annual CEM Benchmarking study	•	•				
55.	Ability to distinguish in reporting among staff-, member-, customer-, and system-initiated changes to data	•	•				
56.	Ability to report the characteristics and quantity of members who meet various criteria (e.g., eligible to retire, specific amounts of service data, etc.) as of a certain date broken down by reporting unit	•	•				
57.	Ability to report statistical data regarding members having both active and retired accounts (e.g., they have retired and subsequently returned to work) broken down by program. Common statistics requested include count, average service credit at retirement, final average earnings at retirement, average benefits on their retired account, and whether or not they are utilizing additional benefits. Users must also be able to query the last fiscal year earnings and check to see if the member returned to the same agency	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
58.	Ability to compile by plan/program and sort and compile by fiscal and/or calendar year: number of retirees, retirees by zip code, average benefit payment, average service credit at retirement, composition of service credit, accumulated sick leave, final average earnings at retirement, average age at retirement, and average system payment towards health insurance, etc. This type of data is useful in preparing presentations and is often requested by legislators and staffers for understanding the effect of specific bills such as an increase in the formula benefit		•				
59.	Ability to maintain records of deceased members and produce a report that (for example) breaks the numbers down by type of member or other demographic data. It must record the age at death and date of death at a minimum. This information will assist in determining if the mortality tables currently being used are realistic	•	•				
60.	Ability to maintain records of members that receive a separation benefit, the amount, as well as applicable dates. It must also produce such a report, including forfeited service and contributions		•				
61.	Ability to calculate and report the average pay increase for members continuously employed. It must be able to sort this information by employer. It must compare average pay increases against past years' increases	•	•				
62.	Ability to periodically reconcile the current membership population by employer. For example, the system must be able to take a prior period's number of members by any member characteristic and reconcile it to the current number of members. The reconciliation must show which members terminated, retired, died, or became inactive. This reconciliation must be detailed (i.e., include name and unique identifier) so a report can be produced and forwarded to employing units for verification		•				
63.	Ability to reconcile various aspects of the current customer population at any point in time and over any period of time	•	•				
64.	Ability to maintain records of the number and type of benefit awards that occur in a year or ad hoc period by employer unit, including date the individual was added to benefit payroll and date – and produce such reports	•	•				
65.	Ability, for any business process, for any specified period, to capture the number (of that process) performed, the amount of time elapsed in each step in the process (including audit-forced rework), time spent waiting in a queue, time awaiting necessary customer response, etc.	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
66.	Ability to graphically display performance metrics (i.e., dashboards) in a manner that permits authorized user to view aggregated data by Division, Bureau, work unit/team, etc. and drill down to employee level data and that permits an employee to view his or her own performance data and compare it to averages for other employees/team members		•				
67.	Ability to graphically display trend metrics based upon member demographics and performance metrics (i.e., given the current backlog in retirement final calculations and the expected number of retirement applications, what might workload look like over the next 6 months?)		•				
	CONTROL						
68.	Ability to provide a facility to prevent or limit queries which will cause significant system degradation or unreasonable volumes of output		•				
69.	Ability to restrict the amount of space (or number of reports) each user is allowed to use for saving queries, query results, etc.		•				
70.	Ability to limit use of the ad-hoc and standard query capability to authorized users		•				
71.	Ability to limit access to stored query results		•				
72.	Ability to limit query access to data to authorized users		•				
	METRICS						
73.	Ability to provide performance reports for each functional area, showing in both tabular and chart form at least the following information: n Current Week n Current Month n Year to date n Last year - this month n Last year - year to date n Earliest date to current n User-defined period(s)		•				
74.	Ability to track and report on staff performance (e.g., type, age, quantity, and quality) individually and as a group on a daily, weekly, monthly, fiscal year, calendar year, and user-defined basis		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
75.	Ability to store the data to perform performance metric reporting (for appropriate periods of time, e.g., year to date, period to date, comparison to previous periods, comparison to previous year to date) and the ability for a user administrator to purge data (such as a query result, NOT BAS data) and the ability to restore such purged data		•				
76.	Ability to present Performance Metric data in graphical form (showing trends) allowing management to see trends/issues and respond by taking proactive steps to manage agency workload		•				
77.	Ability to store the data necessary for Performance Metrics in such a way that it can subsequently be manipulated and reported upon by a knowledgeable user using an ad-hoc query or report generator		•				
78.	Ability to produce at least (but not limited to) Performance Metrics such as: n Production metrics – backlog n Production trends – year to date, year to year n Efficiency metrics – work queues n Workflow metrics – actual cycle times vs. target cycle times n User metrics – actual cycle times vs. target cycle times n Accuracy metrics – providing a comparison of the quantity of work done correctly the first time vs. that which has to be re-worked for some reason.		•				
79.	Ability to provide performance reports information for the entire ETF organization, at the organizational sub-unit level, or at the individual user level.		•				

E.4.3 DESIRED "TO BE" TECHNICAL FUNCTIONALITY – INTRODUCTION

E.4.3.1 BUSINESS PROCESS MANAGEMENT / WORKFLOW

ETF believes that electronic workflow is a powerful enabling tool to assist in the automation and management of our work processes. However, ETF also feels that workflow is the kind of tool that works most effectively when subordinate to the actual processing of work. That is, ETF expects the tool to deliver work to a staff member for processing, possibly provide guidance in what that processing should be, and route the completed work correctly – all without intruding in the actual processing. (For example, requiring that the user navigate away from the screen containing work in progress in order to indicate work status or obtain information on what action to take subsequently,

only to subsequently navigate back to the screen containing the work in progress is **absolutely unacceptable**.) In its proposal, the vendor is to describe how workflow management software manages automated document processing, as well as other content, and integrates it throughout the solution.

Although ETF requires various processes to be workflow-enabled, the ability to access these processes / functionalities outside of the workflow system must also exist. ETF users should have access to this information and these processes not only when they are "within" the workflow sub-system, but also on a non-workflow (i.e., ad hoc) basis. The system must be sufficiently flexible to ensure that users can perform their work regardless of the technical state of the workflow sub-system, i.e., such work must be able to be initiated either via workflow processes or via a non-workflow process – on an ad hoc basis. For example, a Call Center agent should be able to easily execute a change of member or retiree address without first initiating a change of address work item and sending that work item to themselves in order to execute the change. However, all audit trail and roll-back capabilities must track such manually initiated work as well as work accomplished "within" the workflow system.

The vendor's proposed workflow management capabilities must accommodate the requirements outlined in the table below:

Table 72 Functional Requirements for Business Process Management / Workflow

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability for the system to automatically trigger various workflow processes based upon the initial value or a change in value of a field in the associated member account		•				
2.	Ability to automatically assign and prioritize a work item based on business processing logic such that the processing of that work item takes precedence over other work items within a work process; the default priority of all work items should be the same and work items of the same priority should be processed on a first-in / first-out basis		•				
3.	Ability to utilize Electronic Forms, scanned paper forms, faxes, etc., to initiate workflow. The same sequencing must be used across scanned, imported, or electronically initiated workflows to allow either FIFO or FILO processing of work items.	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
4.	The ability to create work-items both manually (e.g., as the result of a phone call with the member) and automatically (e.g., through receipt of a specific scanned document type). This includes, for example, automatic, scheduled initiation of a work process to determine the list and send appropriate correspondence to those members who will shortly be eligible for retirement	•	•				
5.	Ability for a user to sort and select new work by multiple criteria such as first-in, first out, alphabetically, or priority of work item		•				
6.	Ability for an authorized user to manually override the default system assigned priority as well as the priority of an individual work item within a business process without the involvement of IT		•				
7.	The ability to use information such as work item attributes, previous "case" history, individual processor skills, etc., to make work assignments of newly received work		•				
8.	Ability, upon receipt of any incoming document, electronic form, fax, phone call, or other event that might trigger the need for access to the contents of a member folder, to suspend the processing until the paper-based member folder has been scanned – if that scanning has not yet occurred – and then initiate the necessary processing		•				
	PROCESSES						
9.	Ability to track, communicate status and quantify all member, employer, and third party related events as defined by ETF business areas	•	•				
10.	Ability to track the receipt of triggering documents and the status of the business process through completion for all business processes		•				
11.	Ability to "route back" to the original worker a work item that is sent back by a reviewer so that the original worker can make the needed correction/changes; upon completion the item should "route forward" to the same reviewer		•				
12.	Ability to assign a work item to either a work queue or to a specific user		•				
13.	Ability for the system to identify those cases where the processing of a work item has been suspended for a defined period of time and create and/or forward the work item to the appropriate work process/unit for processing		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
14.	Ability for the system to show the status of all Work Items in the system by workflow processes and any sub-processes (what activity / step it is in, who's working on it, when was it completed, etc.)	•	•				
15.	Ability to adjust the movement of work items throughout the workflow to reflect organizational changes, changing process responsibilities, effective dates, etc.		•				
16.	Ability to age suspended work items and automatically route work items depending upon aging criteria		•				
17.	Ability to allow for reassignment of a work item that has been assigned/retrieved/reserved by an individual in cases of sickness, injury, employee terminations, date range, or absence and retain the reason(s) for such reassignment including the identification of the individuals from and to involved in the reassignment		•				
18.	Ability to attach and save notes, a standardized workflow review form, and/or a standalone file (e.g. Word document, email, Excel spreadsheet, Text file, Voice file, etc.) to a work item and make the attachment visible to authorized users	•	•				
19.	Ability for ETF to build and integrate new workflows / modify existing workflows (and managing the versions thereof) based on ETF needs		•				
20.	Ability to create/read/update/delete users assigned to work queues without interrupting the workflow processing		•				
21.	Ability to have defined workflow processes for all of those processes ETF elects to workflow-enable		•				
22.	Ability to identify/indicate due dates/completion dates and assign them to a particular work item and/or work step within a workflow process. Exceeding the due date/completion date would cause the associated work item to follow a user-defined "exception route"		•				
23.	Ability to identify/notify/restrict (selectively) all parties when there are multiple work processes activated		•				
24.	Ability to interface the existing imaging system to the new BAS / Workflow system so that indexed documents, cross-referenced to document types within the new system, will trigger work requests within the appropriate workflow(s) in the new system and update the new system's document tracking log as necessary		•				
25.	Ability to merge a work item created as the result of an incoming document to an already existing work item		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
26.	Ability to perform version control of work flows, and the migration of work flow folders from one version to another, including documentation of changes made to the workflow processes.		•				
27.	Ability to recognize if an account/folder needs special processing in another work area and allow the manual, "on-the-fly" definition of an alternative (ad hoc) routing of the work item		•				
28.	Ability to recognize the Account Status(es) (Active, Retired, Inactive, etc.) in a member's database record and based upon the action or request of the member, generate and forward multiple work items for simultaneous processing by the appropriate work areas		•				
29.	Ability to record forms and documents received and correspondence sent and notify other workflows that are in-process		•				
30.	Ability to support a checklist of documents that are required to process a work item within a particular work step / work process. The checklist must be updated, without manual intervention, as the notification of the documents is sent from the imaging system or as the result of an ETF user screen entry. (This is particularly useful when managing a suspended work item that awaits information from several sources.)	•	•				
31.	Ability to relate specific encounter notes to a work item in one or more workflow steps		•				
32.	Ability to support a document rendezvous capability such that a work process suspended while awaiting the receipt of additional information can be automatically resumed upon the receipt of that information (and recognition that the information may arrive as a paper document, a fax, or even a phone call)		•				
33.	Ability to support a time-based alarm/reminder capability for follow-up tracking of functions within a workflow (e.g., non-receipt of the bank information within a definable number of business days) both in automatically generated correspondence to members who have not responded to requests for additional information and ticklers to staff who may need to provide personal follow-up on incomplete tasks	•	•				
34.	Ability to support work process suspension capability such that, for example, the processing of a request for direct deposit can be suspended while awaiting the receipt of bank confirmation of the account number and routing information		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
35.	Ability to suspend the processing of a work item because ETF is awaiting information from an external entity (member, employer, third party, etc.) or from an internal entity (users, audit, reviewer, etc.) and resume, without requiring manual intervention, the processing of that work item once the information has been received		•				
36.	Ability to utilize a Delegation of Authority feature that fully supplies the user environment (with security) of one member of staff to another for completion of work items owned, and maintenance of that member of staff's work items for planned and unplanned absences from work (while ensuring that we capture the ID of the actual worker who completed the work).		•				
37.	Ability to, within any work step / work process, modify the values of work item attributes associated with the work item		•				
38.	Ability to display unique identifying member information on each screen when focused on a single member		•				
39.	Ability to collaborate or share information to another process or individual outside of the normal workflow process, with visibility as to who collaborated or shared the process.		•				
40.	Ability to have visibility / disclosure of other work being performed, and knowledge / notification of any changes occurring to a member account.	•	•				
41.	Ability to assign, change values of, and query against the value of any work item attribute		•				
42.	Ability for the system to handle conditional routing of a work item based on defined business purposes or state of work item attribute		•				
43.	Ability to simultaneously create and test multiple additional workflow routes without impact to other users doing the same thing.		•				
44.	Ability to release to production new workflow routes without significant impact to the production system.		•				
45.	Ability to release to production tested modifications to workflow routes without significant impact to the production system. Existing Work Items must continue to be processed, not lost for example, because of the deletion of a work step in the modified route.		•				
46.	Ability to initiate multiple Work Items upon the receipt of a single document (e.g., initiate a change of address process as well as a Service Purchase upon receipt of a SP form that indicates that it contains a new address)		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
47.	Ability to "leave" a work process in order to access another process without exiting/stopping the first process (i.e., multi-tasking)		•				
48.	Ability to place a work item on hold – and to do reporting against items on hold, restart items that are on hold, rollback, etc. – and notify the individual who placed the item on hold so s/he can pick up where they left off		•				
49.	The ability to fully automate rote tasks such as the acknowledgement of receipt of information or other member communication. In this model, the first work step after scanning and indexing of many documents received from the member might be a robot step which would use automated correspondence generation to generate, print, transmit, and archive an acknowledgement letter		•				
50.	Ability to integrate with the imaging system such that the receipt of a turn-around document (typically a bar-coded request for additional information) can match the received response to a suspended process, restart the process, and reassign it to the staff member who was originally doing the processing		•				
51.	The ability to create multiple (re-usable) levels within a workflow or route. The purpose of this requirement is to ensure consistency of similar processing even when that processing is done as part of different workflow routes		•				
52.	As an expansion of the work process suspension capability and the automatic generation of reminders/ticklers, the workflow system must also work in concert with the BAS to provide date-effective processing. Thus a staff member can enter the data associated with a change and specify that the change is to occur at a specified future effective date – and be assured that the change will take place on the specified date		•				
53.	Ability to do simulation of a process or a change to a process to evaluate the potential effects of that change		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	OUTPUTS						
54.	Ability to produce the following workflow reports (at a minimum): n All suspended work items n All held work items n All work items in process n User-oriented work throughout to include information such as work items processed by each user, the average/maximum/minimum time required for processing, etc. n Queue-oriented work throughput to include information such as queue lengths, average/maximum/minimum queue time, and other performance metrics. n All work processed through the system during a user-specified period of time, identifying the work items by type, member id, etc. n Quality related metrics such as number of work items reworked, by user, etc. n All completed work processes (and the metrics and attributes associated therewith)		•				
55.	Ability to use heuristics to dynamically forecast system response time based on pending work load			•			
56.	Ability to query on workload individually by process and/or by all processes (i.e., daily, weekly, monthly, calendar year, fiscal year). Identify how many work items are at each work step		•				
57.	Ability to integrate the workflow system to an industry standard facsimile (fax) system in order to support: n Automated inbound transmittal of received faxes as work items for processing or documents to be matched with work items currently in suspension while awaiting the receipt of those documents n Automated outbound transmittal of correspondence by fax instead of by letter or email		•				
58.	The ability to capture work item-specific information at the completion of a workflow. Such information would include (but not be limited to) all process flow metrics, including times and user names, etc.		•				
59.	Ability to generate both pre-defined and ad hoc reports of all system metrics and to support export of that data, e.g., for graphing		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	CONTROL						
60.	Ability for supervisor to monitor and be notified of staff's assigned work and progress		•				
61.	Ability to "turn on" and 'turn off" the audit / review step of various workflow business processes based on ETF defined parameters (e.g. by user, by business process, etc.)		•				
62.	Ability to prevent a work item from being removed from the workflow system without an entry being made in the workflow tracking log – which is then to be reported against		•				
63.	Ability to query on work items that have been assigned/retrieved/ reserved by an individual		•				
64.	Ability to report and/or query on how much "lapsed time" a work item spent in every work step of a work process in order to ascertain and report on how long it took to perform various processing on an account (e.g., establish "normal" processing time from start to finish)		•				
65.	Ability to search such that the status (active, suspended awaiting additional information, etc.) of any work-item can be determined through a simple query based on multiple criteria such as member name, date-initiated, member id, etc.	•	•				
66.	Ability to support measurement capabilities, including but not limited to average/maximum/minimum queue time, queue lengths, performance metrics, and process bottleneck identification. Provide workflow tracking, statistics and process/user throughput reports		•				
67.	The ability to define (graphically) work process maps which, when implemented, automatically "route" work from the mailroom to an individual (or role) and from one individual to another. Such routing may be conditional; for example, the level of approval for signing a refund authorization may vary depending on the size of the refund. Such work process maps should be maintainable by a user administrator level staff member – not requiring advanced IT training and skills		•				
68.	Ability to assign work using a role-based model, thus easily addressing personnel substitutions and absences, as well as individually		•				
69.	Ability for management to see who has selected a work item and returned it to the work queue without further processing		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
70.	The ability for a trained application administrative user (not an IT specialist, but perhaps a "super-user") to easily add users to the system; create, change, or "tune" workflow processes; and change, modify, or alter maps to rectify bottlenecks and inefficiencies. The vendor shall describe any limitations regarding the number of workflow parameters for document types and workstation routing			•			
71.	The capability to control (via a secure method) additions and/or modifications to workflow parameters		•				
72.	Ability to integrate with the BAS in a seamless way (create actions by use of pull down menus, icons, and similar or related features) that can best be explained in the following example: When a member passes away, upon receipt of a death notice (by whatever means), a single workflow process is initiated that sends certain turnaround documents to the beneficiary for completion and return. The workflow must contain the appropriate steps to process and complete the entire operation, all the way to notification of Minnesota Life and payment of the final death benefit. In addition, ETF management must be able to monitor the entire process via the workflow management solution		•				
73.	Ability (through integration with the BAS application) to provide a user-friendly application environment that promotes pre-existing concepts already familiar to users, including the concept of file folders, attachments, staple groups, work baskets, assignments and the use of colors to show the status of an item at a glance		•				

E.4.3.2 BUSINESS RULES MANAGEMENT

The requirements below outline the capabilities required by ETF to manage business rules from both technical and business perspectives. Note that ETF does not mean to specifically require a Business Rules Engine through the requirements below. Rather, the intent is to ensure that business rules are not embedded in the vendor-supplied BAS solution, but are manageable by, accessible to, and changeable by business analysts.

Table 73 Functional Requirements for Business Rules Management

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to associate at least ten attributes to each business rule		•				
2.	Ability for authorized users (business staff, not IT), to capture, maintain and version business rules at the atomic level using natural language with ETF's business terms as defined in ETF's glossary		•				
3.	Ability to implement and maintain business rules external to the application(s) that invoke the rules		•				
	PROCESSES						
4.	Ability to track and report on all updates to data, data values, data ranges, etc., used by distinct business-based rules as well as changes to the rules themselves		•				
5.	Ability to provide "rules management" capabilities		•				
6.	Ability to reuse business rules consistently across sub-systems including, but not limited to IVR, BAS, CRM, portal, etc.		•				
7.	Ability to modify an existing business rule such that when it is modified that modification is immediately realized in the environment (e.g., production, development) in which the change is made and executable everywhere the rule is used in that environment		•				
8.	Ability (for business analysts) to test new or modified business rules external to any and all applications that may invoke that rule. A business rule shall be testable without testing every instance that invokes the rule.		•				
9.	Ability to maintain versions of Business Rules as they are changed		•				
10.	Ability to execute scenarios using previous versions of business rules in support of audit activities, reproduction of historical calculations, etc.		•				
11.	Ability to reuse business rules and/or rule sets to create additional rule sets		•				
12.	Ability to link business rules to the business process activity(ies) to which they apply		•				
13.	Ability to specify the effective date of any new or modified business rule such that it will not be executed until the indicated date		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
14.	Ability to specify the "No longer" effective date of an existing business rule such that it will not be executed after that date		•				
15.	Ability (for business analysts) to perform an impact analysis before a new rule is implemented or an existing rule modified or retired. This ability should provide the analysts with information to track rules to the point where they are invoked within a process.		•				
16.	Ability to easily find a specific business rule in the repository of business rules, possibly by searching, use of key words, etc.		•				
17.	Ability to support multiple business rule repositories, one for each of the environments specified in Section C.5.2 of this RFP		•				
18.	Ability to compare business rule repositories in different environments, e.g., development, test, production, in order to determine differences between the two		•				
19.	Ability to relate each defined business rule back to the source (regulation, law, policy, etc.) from which it is derived		•				
20.	Ability for each business rule to indicate that it has “failed” in some way during execution (and for the failure to be logged), possibly because of invalid data, inconsistent logic, etc.			•			
21.	Ability to support multiple classes of business rules including inference, computation, validation, etc.		•				
22.	Ability, upon adding a rule to the rules base, to automatically check against all existing rules for conflict (different response to the same parameter, etc.)		•				
	METRICS						
23.	Ability to determine and report on how many times a rule is executed and from which process it is executed		•				

E.4.3.3 CUSTOMER RELATIONSHIP MANAGEMENT AND CONTACT MANAGEMENT

ETF requires a comprehensive contact management logging and reporting capability, fully integrated with the proposed BAS solution. ETF anticipates that vendors may propose an existing, cost-effective integrated contact management log software package (either integrated and part of its solution or a third-party package that is interfaced to the proposed BAS solution), but is open to considering any reasonable proposal for satisfying the requirements indicated below.

We note that one Highly Desired requirement is that the proposed solution must include a means to easily capture and subsequently reference all customer encounters.

As part of the prescribed functional requirements, the vendor is required to propose a series of Customer Service Screens (not to exceed five in number) whereby a user can enter the customer's Social Security number or ETF identifier number and bring up a customer profile screen filled with all of the key information regarding a customer.

One of the five screens to be provided is a customer contact journal, directly accessible upon entry of SSN, ETF identifier, or phone number, which will provide a historic trail of key participant events and transactions, displayed from most recent to oldest. The journal entries must include but not be limited to the original membership date, estimate request dates, change of beneficiaries, service interruptions, refund dates, service purchase dates, and telephone contacts. The journal entries must provide links to supporting objects – for example, a refund date in the journal must provide a link to a refund record or letter, so the user can readily retrieve and view the amount of the refund.

In summary, these five (5) screens should be "call center" or customer relationship management (CRM) oriented, quick response, densely packed with data, and able to trigger standard customer service workflows quickly as needed. Should the vendor in fact propose an existing CRM package that will be tightly integrated with the BAS solution, and should that CRM package provide screens such as those described above, ETF will accept that solution. The goal is meeting the functional requirements described above.

Either in its response to this set of Customer Relationship Management requirements or as the subject arises in the requirements associated with correspondence, imaging, and workflow, the vendor should consider (and discourse within its response on) the following items:

- How (procedures) to sort significant correspondence out of the bulk of incoming mail
- Establishing (rules and procedures) relationships among individual pieces of correspondence / requests for information. Illustrative examples include:
  - Letter from a participant requesting information on retirement options and expected benefits
  - Correspondence to/from the participant from/to ETF requesting additional / clarification of information pertaining to the participant's credited service and/or contributions
  - Return of the requested information / clarification from the participant to ETF
  - Correspondence from ETF to the participant setting forth retirement options and expected benefits under each option
  - Letter from the participant to ETF with accompanying application, which selects a particular option.
- Secure archiving of correspondence that must remain available for an extended period of time
- Tracking of follow-up activity and turnaround time associated with correspondence / requests for information
- Reporting of new, open, and closed correspondence items / requests for information, by department, by user-specified date range
- Integration of the correspondence management function with the other features and functions of the future system, particularly the automated letter generation capability that is part of the mandatory BAS system.

It will be the vendor's responsibility to conduct interviews and analyses as necessary to identify and accommodate all possible types of problem resolution investigation types

Table 74 Functional Requirements for Customer Relationship Management and Contact Management

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture user-entered, free form notes on contacts (email, phone call, member session, etc.) with ETF customers (automatically applying user-id, user name, date, time stamp, etc.); records must be limited in length specified by ETF, able to be sorted based on various criteria such as date/time, ETF contact, type of contact, disposition, etc., and viewable by any other authorized user. Use of defaults and standard (drop-down) codes to minimize need for comments is encouraged.		•				
2.	Ability to fully integrate CRM system with BAS solution, e.g., single, unified, consistent user interface and terminology; at least the appearance of a single data repository; consistency of processing such that a process involving a customer undertaken within the CRM properly flows through the BAS application and vice-versa		•				
3.	Ability to update the contact information to reflect the most recent transaction or information provided to the customer via the system (e.g., change in beneficiary, retirement estimate) or as a result of a communication between ETF and the customer – typically by phone, email, portal, or FAX (and, far less frequently, in person).		•				
4.	Ability to automatically (such that a change made within the CRM system updates the BAS and vice-versa, i.e., there is no need to make changes to two systems) update the contact database and customer records for life events, including but not limited to beneficiary designation, request for retirement benefit estimate, retirement application, disability application, termination of employment, refund requests, service credit purchases, and death of member, retiree, or beneficiary, etc.		•				
	PROCESSES						
5.	Ability for users to access history of all information that was historically provided / sent to the customer directly from customer service screens and the portal		•				
6.	Ability to access the customer account update screen directly from any customer service screen. The account update screen is to include key information such as preferred address, email address, phone number, etc.		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
7.	Ability to provide a user interface for customer service / activity tracking screens that "looks and feels" to the user like the screens used in the BAS solution (but the screens are to be customer inquiry and service oriented, and not necessarily work-process oriented)		•				
8.	Ability to automatically track and report on requests that require ETF response and the method for responding (call, correspondence, email, etc.)		•				
9.	Ability to maintain an indicator stating how the member/employer wants different types of correspondence distributed (e.g., email, USPS, FAX, relay telephone, Braille, etc.) and the effective dates of each	•	•				
10.	Ability to maintain an indicator stating what language to use in customer interactions with this customer	•		•			
11.	Ability to automatically link all correspondence sent to the customer (the act of creating and transmitting the correspondence should automatically index and store an instance thereof – including the address to which it was sent and the means of transmission) – including documents related to life cycle events such as benefit estimates, Annual Statements, annuity adjustments and the like – to the contact management log system and be viewable by the user by a single click of the mouse	•	•				
12.	Ability to support automatic capture and tracking of all communications (both in- and out-bound) with a customer with access to same from within the CRM system. Methods of communication include at least portal, email, letters, phone calls, text, chat sessions, video conference, recorded member meetings, and social (or new) media as appropriate, etc.		•				
13.	Ability to support (in the Contact Management System) tracking of E-mails – both in-bound and out-bound		•				
14.	Ability to support (in the Contact Management System) tracking of Faxes – both in-bound and out-bound		•				
15.	Ability to support (in the Contact Management System) tracking of correspondence, paper, and electronic forms (eForms) – both in-bound and out-bound		•				
16.	Ability to support (in the Contact Management System) tracking of Phone Calls – both in-bound and out-bound	•	•				
17.	Ability to support (in the Contact Management System) tracking of recorded member meetings	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
18.	Ability to support (in the Contact Management System) tracking of subscription services	•	•				
19.	Ability to have document management capability in the CRM to permit the user to connect documents, images, spreadsheets, and similar or related items/objects to any contact		•				
20.	Ability to interface the CRM application with all vendor-proposed office automation applications		•				
21.	Ability to integrate the CRM with workflow to initiate a process for a customer and track the status of requests. This means that an action taken within the CRM, e.g., the application for purchase of service, should automatically initiate a work flow process that continues with the business processing of that action	•	•				
22.	Ability to find and easily make available information on any contact by SSN, ETF identifier, name, date of birth, phone number, or other lookup fields in the CRM system		•				
23.	Ability to include within the CRM or to interface with workflow to include automated ticklers to remind call center personnel of upcoming events		•				
24.	Ability to include in the CRM/Contact Management System standard reports (modifiable by the user) and a user-friendly report writer for creating custom reports with graphics, headers, footers, totals, subtotals, sorting, and statistics		•				
25.	Ability to provide in the CRM report writing tools a method of adding new reports to a report menu for easy access		•				
26.	Ability to integrate the Contact Management/CRM log capability with the BAS workflow system, and not require duplicate input of data or separate action and/or access modes. Such integration must support not only initiation of work but also reporting on the status of customer-related work in order to answer questions such as “What is the status of my earlier request for …?”		•				
27.	Ability to establish customer service screens in the CRM that facilitate the accurate (i.e., through edit/checking of input data) and timely (i.e., typically via initiation of a workflow process) response to “standard” service requests from ETF customers.		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
28.	Ability to provide a series of "information rich" (i.e., large amounts of information so users do not have to traverse multiple screens to obtain information) Customer Service Screens whereby a user can enter the customer's ETF identifier number and bring up a customer profile screen filled with all of the key information regarding a customer. The specific information to be displayed may depend on customer type.		•				
29.	Ability to provide a densely packed, logically grouped, single screen that is a customer contact journal that will provide a historic trail of key participant events and transactions, displayed from most recent to oldest. The journal entries must include but not be limited to the original membership date, estimate request dates, change of beneficiaries, service interruptions, refund dates, service purchase dates, and telephone and other contacts or employer requests for regulation changes, plan features, plan contact information, eligibility rules, etc.		•				
30.	Ability to include links to supporting objects in customer service screens – for example, a refund date in the journal must provide a link to a refund record or letter, so the user can view information not otherwise part of the electronic customer record		•				
31.	Ability to populate customer service screens within a 2 second response time		•				
32.	Ability to have densely populated customer service screens with information logically grouped to facilitate the user's locating the desired data. These screens may not be the same as those used by other ETF employees in processing work and updating records; instead, they are to be customer service oriented, i.e., "information rich"		•				
33.	Ability to initiate standard workflows via customer service screens through hot key, check boxes, radio buttons or a single drop down list		•				
34.	Ability to include with the contact log, a correspondence management solution for responding to written customer requests received with responses sent via mail, fax, email, etc. The correspondence management feature will involve well-defined procedures and processes (both automated and manual) for managing the receipt of, imaging of, indexing of, routing of, filing of, retrieval of, and response to incoming written requests for information		•				
35.	Ability to integrate the contact management system with the IVR so that the customer's ID is transferred to the system and applied to the first contact management screen such that caller data will be displayed to the user taking the call		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
36.	Ability to integrate the contact management system with the caller ID capability of the ETF phone system so that the contact management system may attempt to match the caller's number to a telephone number in the customer database (home, office, switchboard, other location, or cell) and information will be provided to the first contact management screen such that caller data will be displayed to the user		•				
37.	Ability to search through all notes, emails and correspondence sent to and from customers for specific words or phrases. Such a search must be accomplished with a single management-level query. ETF management intends to use such a query to find, for example, the number of users who have complained about the quality of telephone support. Similarly such a search would also be used by authorized users against all the information in a single customer's record			•			
38.	Ability to input and maintain multiple-date sensitive addresses for all customers	•	•				
	OUTPUTS						
39.	Ability to provide ETF users with easy (single query) access to all pertinent information on a "customer" when a contact occurs		•				
40.	Ability to produce reports from the CRM such as a contact list, all notes and/or all history (chronologically) for a contact, and any other view exactly as it appears on the user's screen		•				
41.	Ability to (from within the CRM) find answers and respond to typical service questions from customers		•				
42.	Ability to initiate the generation of standard correspondence and fulfillment of form and publication requests, including normal data bookmarks and bar-coding, from the customer service screen – and record same as a customer interaction	•	•				
43.	Ability to provide access to all outbound customer correspondence with the ability to provide resends/reprints as needed through various media (hardcopy, email, portal, etc.)	•	•				
44.	Ability to view all customer "encounter" notes with a single, easy to use, query or retrieval rather than having to go to several different screens to retrieve different kinds of notes		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	CONTROL						
45.	Ability to automatically (a single keystroke or click) retrieve and display all past activity tracking events (aka "encounter notes") that are similar to the customer's current request in order to alert the user that the customer is perhaps "fishing" for a different ETF response to his/her previous inquiry		•				
46.	Ability to include in the correspondence management features all applicable levels of internal controls and appropriate segregation of duties, including the ability to approve letters to be sent or printed.		•				
47.	Ability to establish management approval and controls on all monetary transactions or adjustments initiated from the contact management system.		•				
48.	Ability to audit (or even prohibit) changes made to customer data that are not made as part of an automated workflow process, e.g., a verbally requested change of address		•				
	METRICS						
49.	Ability (consistent with the requirements in the Call Center) to enumerate all contacts, interactions, issue resolutions, etc.		•				

E.4.3.4 ELECTRONIC CONTENT MANAGEMENT (ECM)

As the treatment and management of electronic content has expanded over the years from file management to include technologies such as Enterprise Report Management[18] (ERM) and Imaging, other areas of content needing management have also been loosely coupled with ERM and Imaging. ETF has chosen to adopt the broadest definition of ECM to include all of the technologies and content areas listed below:

- Content (or Print) on Demand

[18] Enterprise Report Management (ERM), also known as Computer Output to Laser Disc (COLD), is a technology that captures the print stream created by a mainframe, mini-computer, or other server-like computer in addition to (or sometimes instead of) having the print stream actually sent to a printer. The captured file can be indexed and stored in a file repository so that it, like scanned images, can be distributed, retrieved and viewed electronically. The capability is typically used to capture reports such as check registers, but, depending on the generation capability used, it can also be used to capture printed correspondence, etc.

- Correspondence Management
- Paper- and Electronic-Forms and Portal Management
- Imaging
- Knowledge Management
- Enterprise Report Management (aka COLD)

Requirements for all of these areas are covered in the sections that follow.

As part of the goal of enhanced member communication, ETF will investigate dispensing with pre-printed forms and correspondence. Instead, forms (and other informational content) will be requested via a Web-interface, pre-populated as appropriate with member information and printed on demand. Should a member request forms via an IVR, Call Center, or email-based request, the system shall still enable the pre-population of form data. Any turn-around forms will include a bar-code representing any information known to the system at the time the form is printed (e.g., form number, member unique ID, member name, member DOB, and/or member SSN). Generating such a form will initiate a workflow. ETF believes that such a bar-code on all outgoing correspondence will facilitate indexing of the forms when they are completed by a member and returned to ETF. ETF requires use of a 2-D bar-code font such as PDF-417. ETF further requires that any scanning hardware/software specified and/or supplied as part of the solution be able to read and correctly interpret the bar-code font.

Much of the material and many of the requirements listed in the topics within ECM overlap. Content on Demand must be available via the Portal, instances of electronic forms must be printable and subsequently available from the electronic member record archive, etc. Every effort has been made to categorize the material within the ECM sub-sections below appropriately.

E.4.3.4.1 CONTENT ON DEMAND (AKA PRINT ON DEMAND)

ETF currently maintains over 850 different informational brochures, handbooks, etc. Over 2,000,000 such documents are printed each year. An undetermined proportion of those pre-printed brochures are discarded because of changes in content prior to their use. Worse, despite ETF's best efforts at announcing the issuance of updated materials, some of the pre-printed material is not discarded, even though the brochures and booklets contain outdated information. The opportunity that avails itself when reformatting such material for delivery by multiple means (with an emphasis on replacing paper with electronic delivery) means that the provision of content on demand is an appropriate solution.

The table below contains a set of requirements for such a content-on-demand solution. ETF is very interested in understanding the vendor's experience with the implementation of such solutions. The variation possible in the level of sophistication in such solutions is high, varying from the selection of complete pamphlets to customizable (containing actual member data) documents built from a set of individually created and managed atoms (e.g., sentences and paragraphs) of content. The Vendor is required to describe any prior experience they have in the installation and configuration of Content-on-Demand systems and also to fully describe the specific features of the system they are proposing for ETF.

Table 75 Functional Requirements for Content on Demand

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	PROCESSES						
1.	Ability to replace current pre-printed brochures, publications and other informational materials with a true content management system that would support a custom print-on-demand capability that draws upon pre-approved paragraphs of content		•				
2.	Ability to support informational/educational material specifically for use on the web portal in order to take advantage of a variety of media capabilities, etc.	•	•				
3.	Ability to enable the Call Center, Consultation Sites, and others to order customer-specific documentation containing personalized information specific to said customer	•	•				
4.	Ability to support customer ordering of personalized materials via the web, IVR, etc., specific to their registered and/or entered criteria	•	•				
5.	Ability to support multiple, portable desktop print centers (with appropriate security) to produce customer specific, targeted marketing, educational and informational materials that would serve the needs of ETF	•	•				
6.	Ability to support the generation, approval and maintenance process of content supportive of the Content-on-Demand solution, including creation and modification dates, user IDs, versioning, etc., and report on same			•			
7.	Ability to support a centralized, secure location to produce customer specific, targeted marketing, educational and informational materials that would serve the needs of ETF		•				
8.	Ability to support a web-, portal-, IVR-, and kiosk-based ordering system to permit customers (with appropriate security) to request information, educational materials, etc.	•	•				
9.	Ability to provide support for multi-lingual content	•		•			
10.	Ability to support Section 508 (Federal disability and accessibility) compliance	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	Outputs						
11.	Ability to build (print-on-demand) intuitive, personalized and customized information prior to (or as a result of) any web, face-to-face, or telephone customer encounter – with or without additional customer input to further define needs	•	•				
12.	Ability to capture into the customer archive any content that is sent to the customer		•				
13.	Ability to intuitively (e.g., customer life events, customer status and demographics) "push" information and educational material to customers' portal pages, possibly triggered by pre-defined milestones, current events, special opportunities, etc.	•	•				
14.	Ability to quickly produce generic documentation of plan- and benefit information to reduce / eliminate the need for an inventory of pre-printed booklets and brochures	•	•				
	CONTROL						
15.	Ability to maintain a version history of all standardized documents pertaining to agency provided benefits, in part so that ETF will know immediately what version of a standardized document was sent to a customer on a specific date		•				
	METRICS						
16.	Ability to gather metrics from content-on-demand-enabled locations on quantities and specific content made per day/month/year linking that with information on the requestor's demographic information		•				

E.4.3.4.2 CORRESPONDENCE MANAGEMENT

As described in Section B.1.3.3.1, ETF currently generates significant amounts of correspondence with its customers. ETF envisions a new BAS solution as being able to generate and archive such correspondence automatically, printing only the copy that must be mailed to the customer (if even that copy is to be printed and mailed; alternatively, the system might create a PDF file for inclusion in an email, create a faxable version, etc.). ETF further requires the system to automatically create a tickler within the workflow system in those situations in which the generated correspondence requires follow-up action (e.g., a request to the customer for more information to be supplied within ten days).

Furthermore, since Correspondence Generation is not typically part of a traditional ECM solution, the vendor is to discuss the specifics of its Correspondence Generation implementation.

As an integrated part of the BAS solution, ETF is seeking a correspondence management solution for managing the correspondence with customers, especially responding to written customer requests received and sent via mail, electronic forms, fax, or email. The correspondence management feature will involve well-defined procedures and processes (both automated and manual) for managing the receipt, imaging, indexing, routing, filing, and retrieval of and response to incoming written requests for information as well as all outbound correspondence of any sort.

ETF currently utilizes a number of standard documents (forms, reports, letters, and spreadsheets), which are currently generated on the legacy system. A listing of these documents is provided in Appendices E.5 ETF Forms and E.9 ETF Spreadsheets and Access Databases.

The vendor must propose to replace or convert these document templates to be compatible with the correspondence management solution proposed in the new system and to integrate them into the new system's BAS and workflow components. It will be the vendor's responsibility after contract award to define in detail all requirements pertaining to the existing documents and their conversion to the new environment. There are a number of approaches that are acceptable to ETF:

- Using conversion tools, convert the files and manually clean up
- Manually enter all document templates
- Scan documents and then manually clean up
- Any other technique that will satisfy the requirement.

In the implementation of the new system, standard letters are to be generated automatically. Examples include but are not limited to benefit estimate letters, requests for certifications, and service buyback information. These letters may be maintained as word processing template documents. When a user task that invokes one of these standard letters is exercised, the new system must automatically merge the letter template with the necessary database information (including but not limited to customer name and address, service credits, and monthly benefit amount). (The selected vendor will be responsible for integrating all data insertion, i.e., name, address, service credits, etc., in forms and letters using appropriate tools. The responsibility for creation and data field population of communications will remain in force until the system has been handed over to ETF, at which time all tools necessary for ETF to perform those tasks will be turned over with the system. ETF should not subsequently have to go to the vendor to obtain new communications and forms.) Depending on the specific business process, it may be required that the user be able to view the letter on his/her workstation screen, modify it if he/she chooses, and trigger printing of the letter with a click of the mouse button. The act of printing should also automatically send an appropriately indexed copy of the letter to the customer record for storage as a TIFF image, a PDF or other immutable form. The vendor should also note that some letter types (e.g., notifications of annual adjustments) will be printed in large quantities as the result of an unattended process. Such "batch" correspondence must be able to take advantage of multiple, high-speed printers and need not be sent to any user's desktop for approval as part of the printing process.

The vendor should consider the following items:

- Establishing (rules and procedures) relationships among individual pieces of correspondence / requests for information. Illustrative examples include:
  - Correspondence to a stakeholder that responds to a request for information on retirement options and expected benefits

- Correspondence to a stakeholder from ETF providing additional or clarifying information pertaining to the participant's credited service and/or contributions
- The implications on correspondence generation of the need for appropriate handling of the return to ETF of the information / clarification requested of the participant
- Correspondence from ETF to the participant setting forth retirement options and expected benefits under each option

- Secure archiving of correspondence that must remain available for an extended period of time
- Tracking of follow-up activity and turnaround time associated with correspondence / requests for information
- Reporting of new, open, and closed correspondence items / requests for information, by department, by user-specified date range
- Integration of the correspondence management function with the other features and functions of the future system, particularly the automated letter generation capability that is part of the mandatory BAS solution
- Providing ETF with all necessary tools that will permit authorized members of ETF staff to create new forms and correspondence including the auto-population of the "data fields" in the new correspondence.

The correspondence management feature must have applicable levels of internal controls and appropriate segregation of duties, including in some instances the ability to approve letters to be sent or printed. If an investigation requires some type of monetary adjustment, it must have management approval before being released to the payroll or accounting system for check generation.

<u>It will be the vendor's responsibility to conduct interviews and analyses as necessary to identify and accommodate all possible types of problem resolution investigation types.</u>

Several of the requirements in the table below discuss the automated capture of a copy of all outgoing customer correspondence directly into the archive. ETF recognizes that if the first printed copy is discarded for some reason and the document is changed and printed again, there is the possibility of capturing more documents than are actually transmitted to a customer. The vendor is to discuss how to avoid or manage this possibility in their response.

A designated user / system administration (as opposed to information systems) function must be able to create new and maintain existing standard letters through the use of the word processing software.

The table below presents requirements that cover correspondence generation management.

Table 76 Functional Requirements for Correspondence Management

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture annotations as an overlay on correspondence		•				
2.	Ability to use an electronic form for customer entry of data and upon submission of the completed form, to capture an "image" of the form as if the form had been submitted on paper (including the ability to retrieve and print same)	•	•				
3.	Ability to automatically capture, index, and archive an “image” of every piece of correspondence (letter, email, web-posting, etc.) exchanged with a customer		•				
4.	Ability to accept digital signatures, e.g., Verisign	•	•				
	PROCESSES						
5.	Ability to accommodate “returned mail” as one of the imaging document types and to trigger a returned mail workflow process for processing, investigation, etc.		•				
6.	Ability to customize system generated correspondence using pre-defined templates and any combination of the following capabilities: n Auto-populating (tagged) blank fields with data drawn from a customer account (with the ability to override some fields) n Auto-population of the appropriate signature n Manually selecting different paragraphs based on the input from the user n Automatically selecting different paragraphs based on customer account information and/or unique situations n Permitting the addition of one or more free-form text paragraphs at any location in the correspondence template - given the appropriate authority to make such changes/insertions		•				
7.	Ability for an authorized individual (not IT) to create new correspondence, including all of the varieties discussed above, e.g., data insertion (e.g., signature, name, address, service credits, etc.), optional paragraphs in forms and correspondence using appropriate tools and controls		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
8.	Ability to maintain and manage the various versions of documents (e.g. accept old form and if more data is required pre-fill new form and send to customer) over time when changes are made to standardized forms, correspondence, and reports		•				
9.	Ability to provide for correspondence to be generated presorted with postal barcode and both 5- and 9-digit zip code		•				
10.	Ability to apply and conform with postal standards and requirements for address formats		•				
11.	Ability to track, archive and manage all in- and out-bound email messages and faxes as electronic correspondence		•				
12.	Ability to distribute forms initiated via request by workflow or Web (or other method)	•	•				
13.	Ability to support both mandatory and non-mandatory fields on all forms. This manifests itself in the automated validation of forms completed and submitted via the web portal as well as automated OCR or OMR treatment of scanned paper forms.	•	•				
14.	Ability to accommodate undelivered email as the trigger of an email workflow process for further investigation, etc.		•				
	OUTPUTS						
15.	Ability to print both blank and pre-filled forms, bar-coding information as appropriate	•	•				
16.	Ability to generate additional information or follow-up correspondence as needed when further documentation is needed and/or additional data is missing, including a form pre-filled with correct information provided on a received but incomplete form and highlighting the areas that need to be completed or corrected	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
17.	Ability for the system to handle all of the following correspondence generation options: n End-users generate their own correspondence and print it themselves (locally) n End-users generate their own correspondence then send it to centralized system (queue) for consolidation, mail assembly (including addition of inserts), folding, envelope stuffing, and appropriate distribution (recognizing that not all customer-selected distribution vehicles will require actual printing, folding, stuffing, etc.) n End-users generate their own correspondence then send it via an email attachment, fax, portal, etc., based on recipient's preference as specified on file		•				
18.	Ability to generate labels for that paper-based correspondence that does not readily fit into standard windowed envelopes		•				
19.	Ability to automatically generate additional information correspondence when further documentation is needed and/or data is missing; ability to generate follow-up correspondence as needed		•				
20.	Ability to generate all forms and correspondence (including appropriate redesign and combining of current forms and correspondence and creation of new ones) in such a way as to support use of pre-populated (with requesting-customer information) fields, barcode capability, constrained handprint for ICR, etc., including print-on-demand via IVR and web-based requests for forms		•				
21.	Ability to generate automatic reminder correspondence when the specified “wait” period has been exceeded for a response from a customer		•				
22.	Ability to produce on demand mailing labels for mass mailings in up to a specified number of different formats, with appropriate selection and sort options		•				
23.	Ability to sign correspondence with staff names (using signature fonts or pasted images)		•				
24.	Ability to archive automatically (at the same time that it is printed or otherwise transmitted to the customer) all auto-generated correspondence along with the method of transmission. The purpose of this requirement is to ensure that the solution is not dependent upon separate user actions to archive and to print		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
25.	Ability to, when auto-archiving correspondence, automatically capture the appropriate information from the correspondence generation utility such that the document indexing is done automatically rather than requiring staff to re-input index information		•				
26.	Ability to automatically generate, transmit, and deliver appropriately both individual and mass-produced correspondence	•	•				
27.	Ability to use a 2-D bar code (such as PDF-417) in every instance in which the application of a bar code is required		•				
28.	Ability to define packets of information/forms based on business process and typical customer needs to satisfy fulfillment	•	•				
29.	Ability to support generation of material for and execution of mass mailings to targeted or general audiences	•	•				
30.	Ability (optionally) to include references to and text of applicable law in correspondence		•				
31.	Ability to retransmit correspondence to customers by extracting from the archive (complete with appropriate watermark)	•	•				
32.	Ability to stop transmission of correspondence sent in error prior to its transmission		•				
33.	Ability to redact specific portions of retrieved (from the archive) correspondence and forms when sending copies of that material to other recipients	•	•				
34.	Ability to automatically include with generated correspondence appropriate indicators that support all features of automated mail processing equipment (assembly, folder, stuffer, etc.)		•				
35.	Ability to send a copy of a document originally printed and sent to one address to a different address (without changing the address on the original document) and record the event (and the second address) in the customer record (e.g., encounter note)		•				
36.	Ability to support ETF archiving of copies of all communications sent to customers such that the customer may be sent an email directing them to log in to the ETF web-site to retrieve, view, and optionally download and/or print the communication. Typically, the copy archived for customer use would be the same copy that is part of the permanent customer image/content record		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
37.	Ability to mask the first five (or any number of) digits of the customer unique ID or SSN with XXX-XX in all correspondence and forms in which the number need not be explicitly printed, e.g., 1099-Rs	•	•				
	CONTROL						
38.	Ability to provide a valid / invalid address checkbox for addresses, and if the address is marked invalid – track all correspondence that should have been sent until a valid address is known and then generate all the past correspondence (pending user approval) to the new valid address		•				
	METRICS						
39.	Ability to report statistics on each type of form / correspondence generated including tracking the amount of prompting required to get required forms returned, and categorize by topics/concerns to identify trends		•				

E.4.3.4.3 PAPER AND ELECTRONIC FORMS (EFORMS) AND PORTAL MANAGEMENT

The selected vendor will be required to redesign all existing forms, brochures, and letters (and/or combine where appropriate to reduce their number – subject to agreement from ETF), to design all new forms and letters, and to include barcode capabilities, appropriately integrated with imaging and workflow components of the new system.

The selected vendor will teach ETF staff how to use all form creation tools to maintain and update existing forms, and to create new ones.

Finally, the selected vendor will be responsible for implementing in the new system the functionality of all existing reports, forms, and letters (unless otherwise agreed to by the vendor and ETF during the requirements definition and design phases), as well as for implementing all new desired reports.

For a listing of ETF's current forms, letters and reports please see Appendices E.5 ETF Forms and E.9 ETF Spreadsheets and Access Databases. Please note that the forms, reports, and letters contained in the Appendices include, as a sample, the form, report or letter for one plan only. If the form, report or letter is included in the Appendices for one plan then the vendor is responsible for the development of the same form, report or letter for all plans to which it may apply.

To minimize member / retiree confusion as they migrate from the use of paper forms to electronic (eForms) forms, the vendor shall design the interface screens used for member-initiated electronic input (e.g., web-based change of address or web-initiated service retirement) to gather the same information as the paper form used for the same purpose. In addition, since ETF desires to retain copies of all correspondence with our members / retirees in the document archive, every eForm

completed and submitted by a member shall be instantiated in the electronic member archive – in such a way that when viewed or printed from the archive, the form image contains the same information as if it had been completed on a paper form and, when retrieved (for example) by a call center agent, looks like the copy the member may have printed.

ETF requires that the vendor enhance ETF's current Web- and secure Portal-based capabilities to include at least the following:

- Separate portal capability for each of the three major types of customers, members, employers, and TPAs, in which each of the three portals provides some common features and some that are specific to the type of customer being served via that portal. For example, all of the customers must login to their respective portal, but only employers submit Wage and Contribution reports via the portal
- All of the "Desired To-Be" functionality requirements that are indicated in those tables as being "Exposed via Web"
- Download for printing of paper forms – with or without pre-population of member data – and automatic bar-coding of populated data where appropriate. The implemented turn-around bar-coding must be supported by the document capture system required as a part of the ECM sub-system
- Electronic forms – for all those self-service functions deemed permissible (i.e., those that do not require notarization or ink signature), including the ability to submit a request for information, the use of an electronic form shall result in the capture into the document archive of an instantiation of the form to ensure that a permanent, human-readable record of the information capture exists
- Basic and data-driven benefit estimate calculators for all plans – using the same estimating calculator that is used in the actual calculation of retirement benefits – and offering all of the same options
- View-only access by customer to customer's data including transaction history, demographic data, member correspondence, and (if opted for by the member as part of their "personal communications profile") any outgoing correspondence for which the member/annuitant has received email notification
- View-only access by customer to any customer-initiated transaction such as a request for purchase of service, including notification of any missing documentation or other information for which the member may be "on the hook"
- Email notification to customer of recent addition of documents to the member's folio or image archive.

ETF notes that all paper and electronic forms and Web-based capabilities must be done in the context of the current ETF "brand," retaining layout and style where appropriate and developing new pages consistent with that "brand" where necessary.

The following table presents requirements that cover electronic forms and portal content management.

Table 77 Functional Requirements for eForms and Portal Management

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to permit customer personalization of the personal portal interface so that, for example, the areas they most frequently "visit" show at the top, etc.	•	•				
2.	Ability to support one-click access to forms and (customized or generic) publications	•	•				
3.	Ability to perform appropriate edit checks on all data entered via the web to ensure validity prior to acceptance by the system	•	•				
4.	Ability, initiated via the portal or other vehicle such as email or telephone request, to support live chat capability with all customers (members, employers, third parties, etc.)	•	•				
5.	Ability, initiated via the portal or other vehicle such as email or telephone request, to support live chat with web-cam - Skype-like – capability with all customers (members, employers, third parties, etc.)	•		•			
6.	Ability of web-interface to support interactivity such as that provided by member's broker and bank web interfaces	•	•				
7.	Ability, via web-portal, to perform all routine account maintenance tasks varying from address changes to naming and editing of beneficiaries	•	•				
8.	Ability to support a mobile website/portal for common requests and transactions such as change of address, scheduling, information look-up, etc.	•	•				
9.	Ability to support mobile applications on mobile platforms for common requests and transactions such as change of address, scheduling, information look-up, etc.	•		•			
10.	Ability to provide easy-to-use electronic form-filling techniques such as "smart-fields," type ahead, etc., and when a form is checked and found wanting, the valid fields remain filled and do not require re-entry. Similarly, when filling out multiple options (for example), re-using data from previous options intelligently rather than requiring that all fields in the entire electronic form be re-entered	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
11.	Ability to support the receipt (upload) of customer-scanned documents in PDF (or other such as jpg) format (including scanning for viruses) through customer self-service and to manage the received documents in the same way (indexing, workflow routing) that a faxed or mailed and scanned document would be processed	•	•				
12.	Ability to support use of "electronic signatures" for all electronic transactions that would require notarization if the transaction were paper-based	•	•				
	PROCESSES						
13.	Ability to allow customers to customize their own portal interface to include the ability to request and receive intuitive, personalized and customized information of interest to them. Information could include materials from an inventory of multi-media presentations, tailored presentations, generic information, etc.	•	•				
14.	Ability to replace current paper-based enrollment (and other) process(es) with portal-based material incorporating wizard-style user guidance, multimedia format assistance, etc.	•	•				
15.	Ability to support (and exceed) ADA compliance (and Section 508 of the Federal Rehabilitation Act), permitting user override of ETF's brand-specified colors, font sizes, etc., on an individual customer portal	•	•				
16.	Ability to support extensive use of multimedia material through the portal site	•	•				
17.	Ability to integrate web standard online technologies into the portal to assist with creating a rich user experience	•	•				
18.	Ability to permit non-IT staff to update screens and/or messages, including the ability to turn off access to a section of the portal		•				
19.	Ability to support use of “SortSite” or similar standards-based testing tool to analyze portal		•				
20.	Ability to add links to ETF’s social media outlets, e.g., Facebook, Twitter, etc.	•	•				
21.	Ability to ensure that electronic- and corresponding paper-based forms follow the same design and development steps so that the approved end result of the design process will be forms that capture exactly the same data elements	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
22.	Ability to alert customers through the portal of system maintenance windows and system not available messages	•	•				
23.	Ability to support data visualization features (dynamic graphics)	•		•			
24.	Ability to accept member/employer payments to ETF (via credit card or direct funds transfer) through the customer's web portal	•	•				
25.	Ability to integrate Geo-Tagging for location-based services	•		•			
	OUTPUTS						
26.	Ability to provide an interactive, real-time member statement on the portal supporting customization of presentation, drill-down capability to expand general information into detailed, etc.	•	•				
27.	Ability to support "top-task" dynamic layout of screens based on member characteristics	•	•				
28.	Ability to easily link via the portal to any relevant section of interest on ETF's web site	•	•				
29.	Ability to support direct, deep links into the portal to specific eForms and pages. This will permit, for example, use of QR codes that directly link a customer to externally specified content	•	•				
30.	Ability to ensure that any electronic form completed on the web/portal can be immediately printed by the user or submitted and later recalled for viewing or printing from the archive and when printed or viewed looks substantially like the paper version of the same form that the user may have printed from the web (including details such as the form number)	•	•				
31.	Ability to generate replacement documents such as 1099-Rs (and W-2s if necessary) and income verifications from the portal without ETF staff involvement	•	•				
32.	Ability to interface with Intuit, Quicken, H&R Block, etc., to download annual financial statements, account balances, etc., automatically	•	•				
33.	Ability to interactively provide the status of any open request the member or employer has made of ETF, e.g., "Provide me with a quote for service Buy-back," as well as any request ETF has made of the member or employer, e.g., "Send a copy of your spouse's birth certificate."	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
34.	Ability to automatically remind members and other parties accessing the system via the web interface of various upcoming activities, need for the member to respond or make a choice of something, and other such communication - and for the member to select a check box so that he or she never again receives a reminder of that specific event (and if the check box is not selected, the user sees the reminder every time they interact with the system)	•	•				
35.	Ability to provide customers with a search capability that seeks information within the portal, the ETF web site, the knowledge archive, other public retirement-related sites, etc.	•	•				
36.	Ability to report on customer searches used within the portal with the ability to compare quantities and topics over multiple discrete time periods		•				
37.	Ability to incorporate a tool for broken link management and forwarding into the web-site/portal support	•	•				
38.	Ability to make public content on the web-site/portal easily discoverable by search engines by making proper use of metadata and well-formatted, standard HTML	•	•				
39.	Ability to provide customers with the ability to print to a PDF file so they can save an electronic version of the data they submit via the portal	•	•				
40.	Ability to present electronic information in a way that optimizes “viewability” and available screen dimensions, e.g., one vs. multiple columns	•	•				
41.	Ability to push email or SMS alerts to customers when new messages are posted to their portal – if turned on by the customer	•	•				
42.	Ability to conduct board elections through the portal	•	•				
43.	Ability for ETF’s Web (not IT) staff to customize any portion of the portal screen through integration of widgets, links, etc., (e.g., to connect with GovDelivery – see Section B.1.3.8.2)	•	•				
	CONTROL						
44.	Ability to assess all two-way portal activity, e.g., pages most visited, requests most frequently made, forms most frequently used	•	•				
45.	Ability to support user feedback for reporting of anything “wrong” with the portal or web site with a behind-the-scenes provision to route that feedback to the appropriate ETF staff person or role	•	•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
46.	Ability to provide a mechanism within the member and employer portals to report usability issues and other problems with the web interface and to make suggestions for improvements - accompanied by a mechanism for ETF to follow up with the individual making the suggestion and to act upon those suggestions	•	•				
	METRICS						
47.	Ability to perform usability testing (and gathering analytics relating to such) on the portal interface	•	•				
48.	Ability to count number of hits made to various pages and the number of downloads of forms and other web-accessible material		•				
49.	Ability to support the use of an advanced analytic tool such as AW Stats that collects and reports (over discrete time periods) on multiple user and use characteristics	•	•				
50.	Ability to apply CEM Benchmarking Secure Member Area best practices	•	•				
51.	The ability to survey portal users (and groups of portal users with similar characteristics) on their satisfaction with the portal, and ETF programs and services, including the ability to calculate and report on responses, and compare results between discrete survey periods	•	•				
52.	The ability to report on the number of active portal users and which tasks they are completing by employer, age, region and other user characteristics		•				
53.	The ability to report on the average time it takes for a member to complete specific tasks within the portal		•				

E.4.3.4.4 IMAGING

The existing imaging solution is described in Section B.1.3.6 Enterprise Content Management (ECM) Sub-System. This RFP asks the vendor to respond to the requirement that the system be replaced (and also to the option that Content Manager, the current image archiving software, be retained). Regardless, the vendor is responsible for delivering to ETF any necessary data conversion, documentation, training, and testing of whatever fully integrated ECM solution the vendor chooses.

Vendors are required to discuss in detail in their proposals which of the two alternatives is being recommended and the rationale for the selected alternative. The vendor's rationale and discussion

should address all of the factors that influenced the recommendation, including relative cost, risk, and schedule considerations. The vendor is to take the following restrictions into account:

- Any specific cost discussion is to be presented in the Cost Proposal, not the technical proposal (although costs may be discussed in relative terms – i.e., as ratios or percentages – in the technical proposal
- As a part of replacing the existing ECM capability, the vendor must include a discussion of image and index conversion as part of its response to the data conversion and bridging requirements outlined in Section C.7.1.2.

Regardless of the approach the vendor recommends (i.e., integration of the existing ECM system or replacement with the vendor's preferred solution), the vendor is responsible for ensuring that the ECM-related business requirements are fully addressed in the commodity software specifications that are to be provided in the technical proposal.

ETF points out that just as member-related documents must be available as part of the member record in the BAS solution, employer-related documents must be available through the employer-based functionality within the BAS solution. In addition, the vendor must ensure that appropriate security is provided such that access to disability documents (a subset of the member record) is limited to a designated set of staff members.

The imaging system must meet the functional requirements stated in the table below. ETF's view of that system is that it will provide archival storage of content unrelated to members and employers, such as Board Meeting minutes, etc. Therefore the imaging system must operate in both integrated (into the BAS) and standalone fashion. ETF views imaging as just a tool that will make the BAS application a highly effective solution. To that end, we feel that tight integration of imaging into the BAS application is a critical success factor for enthusiastic acceptance by ETF staff.

As part of the goal of enhanced member communication, ETF will investigate dispensing with pre-printed forms and correspondence. Instead, forms will be requested via a Web-interface, pre-populated with member information and printed on demand. Should a customer request forms via an IVR, Call Center, or email-based request, the system shall still enable the pre-population of form data. The forms will include a bar-code representing any information known to the system at the time the form is printed (e.g., form number, member unique ID, member name, member DOB, and/or member SSN). ETF believes that such a bar-code on all outgoing correspondence will facilitate indexing of the forms when they are completed by a member and returned to ETF. ETF requires use of a 2-D bar-code font such as PDF-417. ETF further requires that any scanning hardware/software specified and/or supplied as part of the solution be able to read and correctly interpret the bar-code font.

As noted above, the imaging sub-system must be tightly integrated into the BAS solution. ETF's understanding of such "tight integration" includes at least:

- Integration of the image acquisition (e.g., scanning, indexing, forms recognition, image QA) sub-system such that any indexes applied to scanned images, instances of generated out-bound documents, incoming faxes, etc., must be validated against the BAS database
- Integration of the release of an image to the archive with electronic workflow that, depending on the situation, will initiate a workflow case or rendezvous the received document with a suspended case such that the case is released from suspension and returned to the active state
- Integration of the image retrieval and viewing capability such that a user request to view images while within a specific business process will offer two retrieval options:
  - Retrieval of all images specific to the member

- Retrieval of only those images specific to the business process in which the user is working.

In its response, the vendor is required to integrate the existing fax server configuration and software as described in Section B.1.3.6.2 or recommend its replacement to meet ETF's expectations as described above.

As part of the data conversion (and bridging) requirements in Section C.7.1.2, the vendor will also be responsible for converting information currently stored in the image database Member Folder Tag Table into the customer record in the BAS.

Table 78 Functional Requirements for Imaging

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability for the new system to receive the Scan Date/Receive Date index from the imaging system for various business process' (date-related) logic		•				
2.	Ability on scanning to group documents into like batches based on document properties (document size, document type, color, orientation, etc.)		•				
3.	Ability to add any of the following annotations to images: n Highlighter n Sticky notes n Black out (redaction) – without changing the underlying document n Digital stamp n Watermark n Author id stamp, to identify annotation author and date n Date stamping n User annotations n Sticky notes with callouts n Annotations with callouts		•				
4.	Ability to automatically assign a unique batch numbering / batch naming standard		•				
5.	Ability to automatically identify and eliminate blank pages during document scanning and indexing, including the blank, back sides of documents		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
6.	Ability to automatically remember the last set of index attributes used (persistent indexing) for cases where all documents in a batch belong to the same person or where all documents in a batch belong to the same document type		•				
7.	Ability to ensure that multiple users are prevented from selecting and indexing the same batch		•				
8.	Ability to format the data entered from Web "Self-Service" into a standard template so that it can be stored as an image in the imaging system for historical reference	•	•				
9.	Ability to automatically handle (store, index, etc.) the imaging of generated correspondence whether generated online by ETF users or from bulk processing		•				
10.	Ability to index a single page, a single document, or a set of documents		•				
11.	Ability to manage the scanning process with multiple industry-standard scanners, scanning simultaneously		•				
12.	Ability to perform re-scans of a single page, single document, or all documents in a batch		•				
13.	Ability to represent a multi-page document as a single document within the imaging archive		•				
14.	Ability to scan both single-sided and double-sided (duplex) documents		•				
15.	Ability to scan portrait or landscape, A4, legal, etc.		•				
16.	Ability to scan color paper and save as a white document with black text		•				
17.	Ability to support VRS (Virtual ReScan) software or similar soft/firmware that will automatically correct and enhance image quality (including auto switch from white on black to black on white)		•				
18.	Ability to trigger one or more workflow processes for each specific document in a batch of scanned documents when that batch is released to the archive		•				
19.	Ability to verify or look up index attributes against the BAS database (or an extract therefrom) to avoid having to key-in attributes that already exist in electronic format, thus minimizing the probability of data-entry error or duplication		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
20.	Ability to perform automatic form/document recognition and auto population of form data into the benefits application (with appropriate confidence levels and thresholds)		•				
21.	Ability to read 1-D and 2-D Bar Codes and perform optical mark and character recognition (OMR/OCR) to assist in validation/verification		•				
22.	Ability to take appropriate action such as create an electronic customer record for entities upon the first receipt of a document, especially when there may not yet be a customer record in the BAS solution		•				
23.	Ability to use Optical Character Recognition (OCR) to read machine printed text for use in indexing a document and data entry from the document		•				
24.	Ability to use Intelligent Character Recognition (ICR) to read constrained hand printed text for use in indexing a document		•				
25.	Ability to automatically place (based on customer identifier, e.g., unique ID) a scanned document into the correct customer's electronic folder		•				
26.	Ability for an authorized user to move one or a set of documents from one folder to another and to appropriately update the indexes in the workflow job or case, (typically in the case when one or more documents have been incorrectly indexed) with full audit tracking		•				
27.	Ability to automatically change an entire set of documents, e.g., member medical, to a different document class, ETF member medical		•				
28.	Ability to merge two (2) individuals' imaged member folders into a single consolidated folder with full auditing		•				
29.	Ability, upon indexing within the imaging solution, to perform index validation through an automatic look-up in the BAS database. This would include validation (in various combinations) of at least the unique customer ID, the customer name, the member DOB, and the member SSN or employer EIN. The validation would be used to determine whether the customer already exists and to avoid data errors, redundant data entry, and duplicate folder images		•				
30.	Ability, while indexing within the imaging solution, to assist the indexer when the only data available from an imaged document may not uniquely determine the member to whom the document belongs. Assistance might include (but not be limited to) popping up a list of all members with the indicated last name and allowing the indexer to select one by DOB, by address, or by SSN		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
31.	Ability to ensure real-time data synchronization between the BAS database and the imaging solution. For example: n Changing an index value, such as Social Security number, in the BAS system would automatically update the corresponding index for that person in the imaging solution n Changing the name in the BAS system would automatically update the corresponding index for that person in the imaging solution		•				
32.	Integration of the imaging system with the electronic workflow system such that the release of an image (or batch of images) to the image archive initiates the appropriate workflow process(es) for each of the documents in the batch		•				
33.	Ability on scanning to group documents into like batches based on member or employer properties (SSN, EIN, Member number, …)		•				
34.	Ability to scan documents in duplex mode and use threshholding to determine automatically whether the back side of a document is to be retained or discarded		•				
35.	Ability to do full-text indexing of documents to support later retrieval via full text searches		•				
36.	Ability to import (and appropriately index) imaged (or PDF) documents generated outside the BAS or imaging system		•				
37.	Ability to record receipt of documents when they are received, scanned and indexed, rather than when they are processed		•				
38.	Ability to apply security to the input, editing, and deletion of annotations with an appropriate audit trail		•				
	PROCESSES						
39.	Ability to perform full page browsing through a customer's document, a set of a customer's documents, or all of a customer's documents from any starting point		•				
40.	Ability for integration of the imaging retrieval and viewing capability with BAS customer screens so that any user looking at member data in the BAS solution can retrieve and view customer-related documents in a seamless, integrated manner (such as the provision of an "Images" button) without having to provide retrieval keys into the imaging system a second time		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
41.	Ability for the new system to support the existing imaging indices used by ETF		•				
42.	Ability for the system to query based on standard criteria (indices)		•				
43.	Ability to abort lengthy searches without aborting the client PC or the server		•				
44.	Ability to allow a document to be viewed by more than one user concurrently		•				
45.	Ability to allow access to annotations based on security attributes		•				
46.	Ability to allow the viewing of documents at ”fit-to-page” as the default. Users must not be required to resize each page		•				
47.	Ability to apply further search criteria to the results of a search		•				
48.	Ability to browse from page to page		•				
49.	Ability to compare four documents side by side by side …		•				
50.	Ability to create and distribute pre-defined searches for multiple users		•				
51.	Ability to easily move either a single page or multiple pages from a multi-page image file to another multi page image file, with full auditing		•				
52.	Ability to easily reorganize (re-order, rotate, etc.) pages in a multi-page image file (or multi-image file) at any time, with full auditing		•				
53.	Ability to enlarge specific areas of the view of an electronic file		•				
54.	Ability to jump directly to: n The first page of a document n The last page of a document n The previous page of a document n The next page of a document n A specific page of a document.		•				
55.	Ability to inform the user that a search is being processed (i.e., display the Windows hourglass or a percent (%) complete bar / value)		•				
56.	Ability to modify stored searches		•				
57.	Ability to name and save search criteria for reuse		•				
58.	Ability to open multiple windows for multiple documents		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
59.	Ability to pan (electronically grab the imaged document and move it around to the location desired) and zoom viewed content		•				
60.	Ability to perform Boolean searches (i.e., “and”, “or”, “not”, etc.) with grouping operators (usually represented as parenthesis)		•				
61.	Ability to perform range searches for dates and numbers that are indexed (e.g., all documents indexed between 10/1/06 and 10/15/06)		•				
62.	Ability to provide an image viewing and record locking mechanism to allow multiple users to view an image at the same time, yet allowing only one user at a time to modify / annotate / mark up an image		•				
63.	Ability to remember user settings for viewing across documents and user sessions		•				
64.	Ability to retrieve documents to a workstation from a query hit list		•				
65.	Ability to rotate (and save) one page in a multi-page document		•				
66.	Ability to save search criteria into folders for frequently accessed documents		•				
67.	Ability to search on date variations (e.g., using 7/1/22 or 07-01-22, or July 1, 2022 should all work and all provide the same result)		•				
68.	Ability to provide calendar widgets in inputting dates	•	•				
69.	Ability to search using special characters as literals in the search string		•				
70.	Ability to limit/prevent use of special characters in the image indexes		•				
71.	Ability to size and zoom images		•				
72.	Ability to specify the opening of landscape documents in landscape view. The users should not have to rotate a landscape document		•				
73.	Ability to synchronize index values between the BAS and Imaging systems, e.g., unique id and status changes		•				
74.	Ability to temporarily store all search queries in a particular search session until the sets are released or the session ended by the user		•				
75.	Ability to view sheets of correspondence, legal size, and non-standard-sized documents		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
76.	Ability to view the following document/image formats: ASCII, BMP (Windows Bitmap), GIF, HTML, JPEG, PDF, RTF, TIFF CCITT IV (tiled), XML, rich text, Word Perfect, Lotus, all Microsoft- and Open Office file formats, and on-going support of future file formats. Use of a proprietary document/image format is discouraged. Images are required to be stored in TIFF 6.0 format		•				
77.	Ability to simultaneously view thumbnail sketches of multiple documents and multiple pages in a single document allowing users to browse rapidly through pages		•				
78.	Ability with any search, that exceeds 5 seconds, to display the first specified number of records, notify the user that only the first specified number were displayed, and then prompt the user with the following options: n Cancel or n Refine search or n Continue for another specified number of records.		•				
79.	Ability, at a minimum, to sort within categories by document name, date range, or index fields		•				
80.	Integration of the imaging system into the BAS application user interface such that retrieval of a member's documents (when a member's record is open on the screen) may be initiated with minimal use of keyboard or pointing device. For example, a solution that requires the user to key in or cut and paste the member identifier from one application to another is unacceptable		•				
81.	Image retrieval integration with the BAS query capability such that the output of a query can be used to retrieve images. For example, an ETF specialist may need to retrieve and review all the beneficiary designation forms for a particular individual (the named beneficiary, not the member). In such a situation, the result set must be readily usable as the input for retrieving the beneficiary designation forms		•				
82.	Ability to, upon performing a retrieval from within the BAS application, if the member ID (or other unique identifier) does not uniquely determine a member (this should happen only if there has been an error in indexing), a list of the members matching the ID entered (including names, dates of birth, and Social Security numbers) should be presented so that the user can select the specific member being queried		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
83.	Ability to, upon performing a retrieval from within the BAS application, if the member ID uniquely identifies a member, to present the results as a list of the sub-folders within the folder. Sub-folders which refer to unique documents would indicate the form number and scan date, while those which are collections would permit the user to expand them appropriately. When a user chooses to expand a collection, its contents would be listed showing form number and scan date. Alternatively, the user might choose to view all of the documents in a collection, either full size or as thumbnails. Regardless of the method the user chooses, she or he would then be able to select one or more individual documents for full size viewing, annotation, etc. When the list is presented in "detail" mode, the user must be able to sort any of the columns/attributes in the list		•				
84.	Ability for each user individually to specify the location and size of the viewing window (as well as whether the image is to open in a separate window or tab) on their screen so that the window always appears in the same size and location until the user changes those parameters		•				
85.	Ability of the imaging system (operating in stand-alone mode) to support classes of documents beyond those used just in the retirement system		•				
86.	Ability of the imaging system (operating in stand-alone mode) to support user queries outside of the BAS application		•				
87.	Ability to search for and retrieve member documents in one of two ways: n Searching for and retrieving a specific document based on a unique combination of keys such as member ID and form number and scan date n Treating the retrieval like an electronic analogy of the paper-based member folder (see requirement number 83, above) n All documents		•				
88.	Ability to temporarily assign one or more documents in the member archive to one or more staple groups in order to assist in subsequent retrievals		•				
89.	Ability to apply user security to staple groups		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	OUTPUTS						
90.	Ability for the results of any query (a list of available documents or an image itself) to be printed or easily copied into a user's desktop application for inclusion in another document such as a MS Word or Excel document		•				
91.	Ability to copy selected portions of viewed documents and paste into other applications specifically Microsoft Office Suite, SQL forms documents, etc.		•				
92.	Ability to export images into multiple standard image formats		•				
93.	Ability to identify documents printed from the imaging system, i.e., a watermark or similar notation		•				
94.	Ability to integrate the imaging system to an industry standard facsimile (fax) system in order to support outbound transmittal of images as well as to support inbound transmittal of faxes into the imaging system		•				
95.	Ability to print, export to external device, incorporate in email, etc., a single page, a range of pages within, or an entire imaged document		•				
96.	Ability to print, export to external device, incorporate in email, etc., an individual's entire set of archived documents as the result of a single key press or mouse click		•				
97.	Ability to print annotations superimposed on image as well as to print without annotations and to print some annotations (e.g., redactions, watermark) but no others		•				
98.	Ability to print search criteria		•				
99.	Ability to print, export to external device, incorporate in email, etc., selected documents of any format from the query results list without opening the documents individually. Options must include printing (or not printing) annotations		•				
100.	Ability to provide a user / security specified printing "on / off" switch – the imaging system should have user / security features that control whether a given user can print documents		•				
101.	Ability to track all access to documents within the image archive and to generate reports (in particular, those required by HIPAA) of that access		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	CONTROL						
102.	Ability to audit controls to ensure that all documents contained in a batch get scanned once and only once (no omissions)		•				
103.	Ability to automatically route / send unknown or illegible document types to an investigation queue for resolution without suspending the entire batch		•				
104.	Ability to capture, display and print metrics on throughput and accuracy of individual steps within the image acquisition process.		•				
105.	Ability to provide audit controls to ensure that scanned documents get indexed once and only once		•				
106.	Ability to sample and verify indexed documents prior to the committal / update to the imaging archive		•				
107.	Ability to capture metrics on image indexing to monitor efficiency		•				
108.	Ability of the imaging system (operating in stand-alone mode) to provide user administration capabilities with a Windows GUI		•				
	METRICS						
109.	Ability to generate reports of various statistics of the image ingestion system, e.g., number of batches, number of separator sheets scanned, number of images scanned, number of documents, etc., by unit or user, etc.		•				

E.4.3.4.5 KNOWLEDGE MANAGEMENT

In addition to including electronic on-line help ETF requires integration of the BAS with ETF's existing Knowledge Management subsystem and repository and its integration with the BAS' on-line help utility. In the conduct of its day-to-day business affairs, ETF staff must remain cognizant of several business "drivers" which dictate the services and information which ETF provides to its membership. Those drivers include, but are not limited to:

- State statutes
- Federal law and regulations
- ETF administrative rules
- ETF Member or Employer Handbooks

- ETF procedures
- Existing manuals
- Various forms and instructions.

The vendor is required to detail in the proposal its recommended approach to integrating ETF's current repository capability that is described in Section B.1.3.3.3.10. The vendor must include a description of routine maintenance requirements for the repository. ETF would also welcome vendors' suggestions as to how to enhance this capability in order to make it more responsive to the needs of ETF staff members.

Table 79 Functional Requirements for Knowledge Management

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to capture updates to the Knowledge Management Repository (frequently asked questions, standard problems and responses, and other ad hoc information)		•				
2.	Ability to provide the users (not just IT) with the ability to update the Knowledge Management Repository.		•				
	PROCESSES						
3.	Ability to provide an on-line Knowledge Management Repository of information supported by an integrated search engine that is capable of returning possible matches to key words and other searches		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
4.	Ability to provide an on-line Knowledge Management Repository where at least the following are maintained (and retrievable by full text search): n State statutes and regulations n Federal law and regulations n Case law n ETF administrative rules n ETF Member or Employer Handbooks n ETF policies and procedures n Bureau-related notices n Historical calculation spreadsheets and methods of their use n Policies and procedures of specific employers n All appropriate contracts (union, etc.) n Existing manuals n Various forms and instructions n Banking regulations n IRS regulations		•				
5.	Ability to provide in an on-line Knowledge Management Repository a context sensitive help capability.		•				
	OUTPUTS						
6.	Ability to maintain a Help or Glossary of terminology used by ETF staff.		•				
7.	Ability to provide the capability to implement general links to the relevant rules and policies in relationship to the context of the "in process" activity - separate links but accessible to all.			•			
	METRICS						
8.	Ability to capture hits against specific items in the KM repository to understand their importance and possibly develop associated support material, etc.		•				

E.4.3.4.6 ENTERPRISE REPORT MANAGEMENT (ERM AKA COLD)

ETF requires the implementation of a print stream archive capability. There is no requirement that the print archive capability specifically be COLD or ERM; ETF looks to the vendor to make a cost-

appropriate suggestion for print archiving. In that context, ETF's requirements for the print archiving solution are relatively simple. All reports and other such print stream presented data are to be captured into the print archive in such a way that they can be searched using a robust search capability (across reports, across dates, using multiple indices and Boolean operations on the indices). The solution should also provide a free-text search capability so that even un-indexed text can be searched.

In addition, ETF believes that any member-specific records stored in the print archive should be accessible through the same query function used for the retrieval of images. By this we mean that a single query retrieval about a member's electronic record will provide the viewing user with a list of all "documents" associated with that member whether they be images or print-archived records. Furthermore, the viewing capability should be capable of viewing interspersed image and print-archived records without changing viewers.

Table 80 Functional Requirements for Report Management

Requirement ID	Description	Exposed via Web	Highly Desired	Desired	Compliant	Customization	Non-Compliant
	Inputs						
1.	Ability to capture to archive any of the print streams generated by the BAS application		•				
2.	Ability to index captured print streams appropriately, including to customer record if appropriate		•				
3.	Ability to capture and archive any computer output generated by the BAS application and make immediately available during production hours without having to wait for off-hour periods		•				
4.	Ability to run import to the print archive of documents generated outside of the normal workflow process		•				
5.	Ability to generate a complete set of indices for automatically indexing a specific computer output document		•				
	Processes						
6.	Ability to access any customer-specific images, customer-specific emails, customer-specific voice (if available), and customer-specific report archived records with a single query from within the BAS application		•				
7.	Ability to add multiple text annotations to a page of an archived report		•				
8.	Ability to display interspersed customer-specific print-archived records and images identified by the above query in a single viewer		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
9.	Ability to provide (appropriately protected) user access to archived reports from outside of the BAS application		•				
10.	Ability to retrieve customer-specific "documents" (e.g., a check "image," or just the customer-specific record of a check register from within a complete check register archive report) and display as a customer-related "document" just as if it were an imaged document		•				
11.	Ability to search for and retrieve portions of archived reports based on at least five different index fields, e.g., customer ID, SSN, Last Name		•				
12.	Ability to attach or link reports to work items		•				
	OUTPUTS						
13.	Ability to print archived output in format in which print stream was captured so that printed copy looks just like the original (i.e., pass the light-table test)		•				
14.	Ability to export data from the report archived output into alternative formats, e.g., MS Excel		•				
15.	Ability to provide customer-specific report archived records through the portal	•	•				
	CONTROL						
16.	Ability to generate a complete report of all the print streams that have been processed into the repository in a specific period		•				
17.	Ability to generate an exception report when an automated print archive capture routine aborts for any reason along with the ability to recover gracefully - and fully		•				

E.4.3.5 HELP DESK

Integrated with (though possibly subordinate to) the Contact Center function of the BAS solution must be a help desk capability that focuses on business-oriented application support (how to's) and trouble reporting and resolution - including a means to report on and channel issues to the appropriate parties using consistent and appropriate issue-related information. ETF assumes that internal personnel seeking assistance from the help desk may be serviced through a different interface from that available to customers.

A vendor's responsibilities would include installing the software, configuring it, configuring any "agents," providing any necessary integration (e.g., with ETF's existing Asset Management capability), and initially loading any necessary inventory and configuration information. The successful vendor will also be responsible for maintaining the currency of this information through the end of warranty period.

During the implementation of functional rollouts, the help-desk will initially be staffed by the vendor. The vendor should assign enough staff to this task in order to adequately handle all the incoming help desk calls and then transition and provide knowledge transfer to ETF help desk staff. ETF's current break-fix Help Desk will continue its current operations.

During the warranty period, the vendor will cooperate with ETF in managing a gradual transition to all-ETF staffing of the help-desk. In their proposal, vendor is required to discuss its proposed plans for initially staffing the help-desk and gradually transitioning staffing responsibilities to ETF.

Table 81 Functional Requirements for Help Desk

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to support and answer questions from 1) customers and 2) internal staff through various means including web, telephone, email, live chat, etc.	•	•				
	PROCESSES						
2.	Ability to initiate workflow requests for Help desk support, including requests for security modifications	•	•				
3.	Ability to provide full incident logging capability – including date, time, user identification, problem category and description, problem assignment, resolution, and date and time of resolution		•				
4.	Ability to provide on-line problem determination and resolution assistance and provide scripts that the help-desk personnel can follow to facilitate problem resolution and/or categorization. The system must also include the capability for adding and revising scripts		•				
5.	Ability to easily enhance the application Help Desk as new features are added to the application suite		•				
6.	Ability to permit a business analyst (or someone without systems knowledge) to staff the Help Desk and answer questions from a business (not technical) perspective		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	OUTPUTS						
7.	Ability to generate reports on source, status, and resolution of all requests to the Help Desk and analyze that data to take appropriate remediation actions		•				
	CONTROL						
8.	Ability to automatically (and manually) prioritize and route help desk issues to the appropriate personnel for resolution based on user-provided issue attributes with incorporation of appropriate security standards		•				
	METRICS						
9.	Ability to include a report generator which can provide statistical summaries of problems and resolutions, as well as the ability to list information including but not limited to open trouble reports, problem histories by various categories, average times to fix/resolve problems, and maximum times to fix/resolve problems, etc.		•				

E.4.3.6 RECORDS RETENTION AND ADMINISTRATION

ETF does not currently have or use a Records Management System. However, the agency has adopted an enterprise-wide Records Retention policy, a copy of which is included as Appendix E.22 to this RFP. When ETF does acquire and implement a commercially available Records Management solution, it will be in a form that can be applied across the entire agency, not just the records of the BAS.

For the purpose of this procurement, ETF is interested in meeting both a short-term and a long-term goal:

- In the short-term, having the ability within the BAS to administer records based on the records retention policy and schedule mentioned above and meeting the requirements outlined below
- In the long-term, ensuring that the records within the BAS are implemented in such a way that whatever commercially available Records Management system is eventually procured and implemented, it will be able to integrate with the BAS to perform the functions outlined in Table 82 below.

As part of the implementation of the BAS, the successful vendor is expected to assist ETF in their short- and long-term records management goals by reviewing the policy and suggesting improvements as well as best practices in implementation and configuring the system appropriately.

In their response to this section, vendors must provide a complete discussion of their approach to records management, as well as answering the requirements listed in the table below. One aspect of Records Management that is of particular interest to ETF is marrying the Records Management of paper documents and electronic files so that as paper is scanned (and the image becomes the document of record), the paper is shredded or otherwise destroyed. ETF looks to vendor to assist in setting up appropriate processes to ensure the uniqueness of the document of record and management of multiple renditions of documents.

The requirements below are the minimum set of requirements that ETF believes are essential to perform Records Retention and Administration within the context of the BAS.

Table 82 Functional Requirements for Records Retention and Administration

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to integrate the ingestion of forms, emails, documents, and general member records with the automatic assignment of the appropriate default retention period based on record/document type		•				
2.	Ability to automatically extend the record retention period based on record-related business activities		•				
3.	Ability to accommodate the retention and administration of multiple record types including electronic documents in the imaging system, recorded call center files, electronic data, electronic reports captured in the electronic reports management system, emails, physical documents such as paper, fiche, and film, etc.		•				
	PROCESSES						
4.	Ability to provide automated notification to the ETF Records Manager when the retention period for one or more records has expired and the record is ready for archiving/destruction		•				
5.	Ability for Records Manager, upon receipt of notification of retention period expiration, to order the automatic archiving/destruction of the indicated electronic records		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
6.	Ability for Records Manager, upon receipt of notification of retention period expiration, to order the archiving/destruction of the indicated physical (non-electronic media) records. Such ability should also require follow up by the "destroyer" to ensure that physical records were actually archived/destroyed - and follow-up by the system if no indication is given that the archiving/destruction occurred		•				
7.	Ability to automatically archive/destroy electronic records upon receipt of notification to so archive/destroy from the Records Manager. Such automatic archiving/destruction should ensure that no records are archived/destroyed for which the retention period has not expired		•				
8.	Ability to extend the retention period for a specific record or set of records based on an event that warrants such an extension		•				
	OUTPUTS						
9.	Ability to produce reports indicating all activity within the Records Management system (e.g., records in, records extended, records archived/destroyed, …)		•				
	CONTROL						
10.	Ability to notify a governing authority if an attempt is made to archive/destroy electronic records whose retention period has not yet expired		•				
11.	Ability to provide report and audit trail of all record archiving/destruction activities, identifying (at a minimum) the class of record, the age of the record, and the staff member who performed the activity and/or provided the authorization		•				
12.	Ability to maintain the integrity of an electronic record, "locking it down" to ensure that it is neither altered nor archived/deleted before its time (known in legal parlance as "spoilage" of a record)		•				

E.4.3.7 SYSTEM SUPPORT

The functional requirements below address the need for support of the system

Table 83 Functional Requirements for System Support

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	PROCESSES						
1.	Ability to move data from production into another environment and optionally (but automatically) obfuscate specific identifying data elements (de-identify it)		•				
2.	Ability to move all data for a specific member, employer, third party, etc., from one environment into the production or test environment		•				
3.	Ability to capture a snapshot of all the data for a specific member so that it can be re-used in another environment for test or training purposes		•				

E.4.3.8 TELEPHONY / INTEGRATED VOICE RESPONSE (IVR)

The vendor must describe the integration of the existing Integrated Voice Response (IVR) system and Automated Call Distribution (ACD) system (see Section B.1.3.7) with the BAS solution. The IVR provides support to enable members, benefit recipients, employers, and TPAs to obtain information / responses to specific requests in an easy, user friendly manner – while off-loading from ETF staff time-consuming, "low-value-added" processes.

Conceptually, the capability is similar to automated telephone response systems that banks and credit card companies utilize; that is, straightforward use of a touch-tone phone or automated voice recognition (AVR) capability that allows the caller to "navigate" through a series of menus and questions and answers is the starting point of the capability.

As noted in Section B.1.3.7, the IVR must be resident on a platform dedicated to this application. When a user enters a request for information, the IVR platform, through a series of application programming interfaces (API's), shall access a subset of the BAS applications resident on the application platform, as well as data on the database platform.

The vendor must be able to guarantee that no "invasion" will occur – that is to say, that users of the IVR will be able to query only the information that ETF chooses to make available to them, and that they will, under no circumstances, be able to modify any data. The technique is left up to the vendor – but their rationale for ensuring no invasion of the system must be comprehensive and effective.

If the guarantee of no invasion of ETF's network is problematic in the vendor's view, ETF will consider an alternative strategy (to be fully specified by the vendor), i.e., a scheme by which the IVR remains on an isolated platform with no connection to the network. In this scheme, ETF presumes that a selected subset of the BAS application would be resident on the IVR platform. In addition, the IVR platform would also host a full copy of the "production" database that will be refreshed each

night. Information including, but not limited to, IVR calls per hour and distribution of calls would then also have to be exported from the IVR platform to the BAS network (or other platform as proposed by the vendor). Suggestions from the vendor for refining this approach are welcome.

If the vendor believes that both approaches are feasible and can be implemented without risk to ETF applications and data, then the vendor must include in its proposal a discussion of:

- The security-related pros and cons of the two alternatives
- The operational pros and cons of the two alternatives
- The *relative* cost of the two approaches over a three-year operational life cycle (please do NOT include specific pricing data in the technical proposal; speak only to the **ratio** of the cost of the two alternatives; the fully developed discussion can be included in the Cost Proposal).

Whichever alternative approach is preferred by the vendor or selected by ETF, development of the IVR capability must NOT entail significant new application development. The applications to be employed will already exist on the BAS application platform (or other application platform as proposed by the vendor).

The IVR integration is to include a Computer Telephony Interface (CTI). The integration of automatic routing of the call to the user must be included in the vendor's proposed solution. The cost for this feature quoted by the vendor in its cost proposal must include all modifications to all software necessary to implement the capability.

Finally, in addition to the requirements matrix below, vendors are to address the following other issues related to their proposed IVR solution:

- Describe how the IVR integrates with the BAS solution to support outbound and predictive dialing for enhanced messaging and callback functionality (a schematic diagram might assist in this description)
- Describe how the integration of the IVR may assist in the distribution of electronic mail and provide statistical information similar to Automatic Call Distribution (ACD)
- Describe the type of system monitoring and reporting features that are available to managers who will be supervising the system
- Describe the capabilities of the system to handle critical failures including but not limited to:
  - Re-establishing links to the external BAS database
  - Whether the method requires manual intervention or is automated
  - Whether calls are lost during this period
- Does the proposed solution support multiple voice prompting languages
- Describe the integrated system's ability to record transaction information within a member's record in the BAS application.

Table 84 Functional Requirements for Integrated Telephony and IVR

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
	INPUTS						
1.	Ability to provide a straightforward use of a touch-tone phone, whole word (e.g., one, two, three) or speech recognition (not currently implemented) capability that allows the customer to "navigate" through a series of menus and questions and answers			•			
2.	Ability to allow customer to identify themselves with up to three key pieces of information (including Social Security number and/or ETF identifier)		•				
3.	Ability to support "say anything or speak freely" technology (not currently implemented) to recognize customer requests and respond accordingly			•			
4.	Ability for an authorized user to activate an emergency message from a telephone outside of the ETF phone system (Oracle's Contact Center Anywhere). Such an activation would empty and close the inbound call queue		•				
5.	Ability to support multiple alternative emergency messages that can be activated by an authorized user from outside the ETF phone system		•				
6.	Ability to route calls to Call Center Agents working from home who will have access to the same functional capabilities available to Agents working within ETF's buildings		•				
	PROCESSES						
7.	Ability to provide the customer with the option of contacting a particular business unit or staff member, including but not limited to the following: n Requesting a call back from a particular individual (e.g., Jane Doe) or business function position (e.g., benefits specialist) n Making appointments, for example, to see specific benefit specialists or at specific learning opportunity locations n Etc.			•			

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
8.	Ability to provide the customer with the option of contacting a particular business unit or staff member, including but not limited to the following: n Requesting that the call be forwarded to a specific individual (e.g., Jane Doe) or business function position (e.g., benefits specialist) n The ability, after hours, to leave "open ended" messages of up to a specified number of seconds duration from customer (with a warning 15 seconds from the end of the recording period of pending cut-off) – with the ability to configure the bounds of the usage of this feature n Etc.		•				
9.	Ability to allow customers to manage their personal identification number (PIN) or password	•	•				
10.	Ability to support up to 5 hierarchical levels of menus with up to 5 choices at each level		•				
11.	Ability to integrate IVR services through a Web portal	•	•				
12.	Ability to integrate Skype-like technology in supporting customers	•		•			
13.	Ability to allow authorized ETF administrative staff (non-Information Technology or consulting staff) to record IVR messages through voice recording.		•				
14.	Ability to easily manage and play helpful information (e.g., promotional messages suggesting the use of the ETF Web-site) to all customers		•				
15.	Ability to record the call, automatically index it, and store it as part of the member record for possible later retrieval and playback		•				
16.	Ability to support a platform dedicated to the IVR application where a customer enters a request for information, the IVR platform, through a series of application programming interfaces (API's), will access data stored within the BAS		•				
17.	Ability to ensure that there is to be no difference between the response to an inquiry routed through the IVR vs. the response to an inquiry routed through the web portal vs. the response to an inquiry routed through the BAS application. (The only difference is the user interface.)		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
18.	Ability to screen pop an operational screen based on the unique identifier and call type information provided by the customer when prompted by the IVR, in the event the customer wishes to be connected to a Call Center agent for assistance		•				
19.	Ability to handle excessive "wait" periods for callers in an appropriate manner, i.e., giving the caller a method of call resolution other than a "hang up"		•				
20.	Ability to handle special events such as holidays and system outages		•				
21.	Ability to integrate IVR with the Knowledge Management system			•			
22.	Ability for ETF to assign and manage customer PINs for IVR usage		•				
23.	Ability for a Call Center agent to share the contents of their own monitor screen with another ETF staff member who might assist in call resolution (e.g., PC Anywhere, Terminal emulation) with appropriate security		•				
24.	Ability to permit customer to request a call-back when hold times exceed a system standard time, e.g., 2 minutes, such request (i.e., initiation of option, recording of phone number, queuing of call, etc.) to be managed automatically			•			
25.	Ability to automatically capture full member identity (including Caller ID) and intent information upon receipt of call to support subsequent call routing			•			
26.	Ability to match caller ID with member record stored in the BAS to automatically identify the customer		•				
	OUTPUTS						
27.	Ability to enable customers to obtain information / responses to specific requests in an easy, user friendly manner		•				
28.	Ability to provide answers to “standard” questions with no ETF staff intervention, e.g., the date that benefit payments were issued, and the amount, account balance, total service credit, confirmational correspondence, honoring requests for (pre-populated) forms, etc.		•				
29.	Ability to notify customers in the call queue their estimated waiting time before the next agent is available		•				
30.	Ability for on-line (or touch-tone) polling of member satisfaction following a call		•				

REQUIREMENT ID	DESCRIPTION	EXPOSED VIA WEB	HIGHLY DESIRED	DESIRED	COMPLIANT	CUSTOMIZATION	NON-COMPLIANT
31.	Ability to prevent publication of member information through the IVR at the member's request		•				
	CONTROL						
32.	Ability to support, initially, 50 concurrent calls with the ability to expand capacity, possibly with additional hardware		•				
33.	Ability to support limited (and appropriately protected) customer account update via the IVR capability.	•	•				
34.	Ability to guarantee that no "invasion" will occur – that is to say, that customers of the IVR will be able to query and modify only the information that ETF chooses to make available to them		•				
	METRICS						
35.	Ability to track and query on IVR Call Performance statistics (both for workgroup and individual agent), including at least: n How many calls received per hour (average, maximum, minimum) n Call distribution by hour of the day, day of the week, week of the month, month of the year in both tabular and graphic format n Statistics related to individual requests at each of the nodes in the menu system n Number of disconnects (abandon rate) and amount of wait time before the abandonment n All post call survey results n Call Center Agent utilization rate n Average speed of answer n Average talk time n Average after call work timer n Percent of calls transferred (and to where) n Etc.		•				

E.5 ETF FORMS

The table below contains a complete list (as of January 8, 2013) of all of the forms in use at ETF.

Table 85 Forms in Use at WI ETF

DOCUMENT NUMBER	TITLE	REVISION
ET-1705a	Employees Monthly Life Insurance Premium Rates for Age 70 and Over	3/27/2012
ET-8374	ETF Supervisor Manual Receipt Acknowledgement	11/5/2012
ET-1156	How To Join The Wisconsin Public Employers Group Health Insurance Program For Non-WRS Employers	9/21/2012
ET-5377A	Overpayment Recovery - Annuitants/Others	11/29/2011
ET-8622	Training Evaluation	7/12/2012
ET-2168	WPE Addendum - Coinsurance Uniform Benefits/Standard PPO	10/9/2012
ET-8715	11 7/16 BY 14 1/2 1st Class Flaft Kraft Envelope	5/1/2004
ET-2128-09	2009 Local WPE Dual Choice	1/1/2005
ET-6511	40.65 Annuitant Death Benefit Worksheet	6/1/1984
ET-7210	40.65 Benefit Adjustments	10/24/2008
ET-5335	40.65 Duty Disability Other Earnings Reported	9/1/1999
ET-5345	40.65 Information for Initial Calculation	5/21/1999
ET-5346	40.65 Initial Calculation	4/1/1999
ET-5347	40.65 Offset Worksheet - Separation Offset Calculation	5/1/1999
ET-5373	40.65 Tentative Approval Letter	5/1/2004
ET-5379	40.65/SS REQUEST During Tax Return Review	2/10/2009
ET-5368	40.65/SSA - First Letter	2/16/2012
ET-8725	6X9 Envelope for 1099R W/WINDOW	10/8/2008
ET-8711	9 x 6 Return Envelope	9/24/2010
ET-6302	Accidental Dis or Loss Limbs	6/1/1997
ET-4537	Account Balance Calculation Spreadsheet	9/1/1997
ET-9056	Account Balances Control Report	10/1/1994
ET-9037	Account Receivable Code List	11/1/1989
ET-7322	Account Summary as of January 1, 200___	10/20/2011
ET-8913	Accounting Bureau Timesheet	2/1/1991
ET-8520	Accounting Letter-Removal from Payment	3/1/1992
ET-8539	Accounts Receivable Data Entry Form	8/1/2002
ET-7260	Accounts Receivable-Benefits	11/1/1994
ET-4306	Accumulated Leave Certification	7/25/2012
ET-4601	Accumulated Leave File Maintenance	9/8/2010
ET-4602	Accumulated Leave Reports	1/1/2500

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ET-4108	Accumulated Leave Statement of Account (Employee)	10/1/1991
ET-7284	ACH AUTH CORRECTION NOTICE	11/1/2003
ET-7286	ACH Death - Request for Money Back	11/1/2003
ET-1734	ACH Direct Withdrawal Authorization	9/1/1999
ET-7801	ACH Rejection Notification	1/1/1996
ET-7320	Acknowledgment of Statement Request	3/20/2001
ET-1641	Acknowledgment Receipt Reports and Remittances	6/1/1997
ET-4949	Act 302 - Active	1/1/2500
ET-4951	Act 302 - Alternate Payee	10/13/2011
ET-4952	Act 302 - Beneficiary	10/13/2011
ET-4950	Act 302 - Inactive	10/13/2011
ET-7230	Actuarial Code F/M	6/1/1980
ET-8828	ADA Alternate Format Assistance Request	2/1/2002
ET-8831	ADA Request Log	6/1/2005
ET-2123	Additional Contributions	5/7/2012
ET-4533	Additional Retirement Fund Adjustments	6/1/2009
ET-4520	Add-On Service For Age Reduction Calculation	6/1/2009
ET-9036	Address Specifications 1990 SOB	11/1/1994
ET-2806	Address Verification	5/1/1998
ET-2688	Adjusted Process Total for Daily Reconciliation Earn	10/1/2000
ET-2690	Adjustment Processor / Var Part System & Related Tables	5/1/2004
ET-2683	Adjustment Processors	6/1/1993
ET-8746	Administration Manual Letterhead (Chapter)	1/1/2500
ET-4943	Administrative Appeal Process Brochure	1/1/2007
ET-6318	Affidavit for Transfer of Property	3/30/2007
ET-2371	Affidavit Of Domestic Partnership	11/1/2011
ET-2372	Affidavit of Termination of Domestic Partner	9/18/2009
ET-8930	Affirmative Action Brochure	4/13/2006
ET-8280	Affirmative Action Plan	10/1/2004
ET-4531	Age 70 1/2 Minimum Distribution & Withholding (Lump Sum Benefit)	8/22/2012
ET-8442	Analyst Testing Worksheet	2/1/1983
ET-4607	Annual ALCC Billing - Interest Charge	10/1/1983
ET-5929	Annual Benefit/Increase & Soc. Sec. Adjustment Letter	11/30/2012
ET-5910	Annual Income Certification	4/18/2012
ET-1521	Annual Reconciliation - Employer Control Sheet	1/1/2500
ET-8185	Annual Records Statistical Report	4/1/1988

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ET-8132	Annual SAMS Statistical Report	1/1/2500
ET-2680	Annuitant Additions Report	10/1/1999
ET-2682	Annuitant Changes Report	10/1/1999
ET-6313	Annuitant Death Benefit Estimate	10/31/2007
ET-6304	Annuitant Death Benefit Estimate-Restricted Form of Payment	10/31/2007
ET-6508	Annuitant Death Benefit Worksheet	1/31/2005
ET-2681	Annuitant Deletions Report	10/1/1999
ET-7266	Annuitant Health Insurance Premium Adjustment	11/18/2004
ET-4945	Annuity Correction Notice	11/14/2001
ET-4902	Annuity Correction Notice	6/23/2008
ET-8940	Annuity Fact Sheet	8/5/2011
ET-7249	Annuity File Actuarial Code Corrections	3/1/1984
ET-4908	Annuity Overpayment Notice - Discovered By Audit	2/1/1990
ET-4907	Annuity Overpayment Notice - Estimate Was Too High	5/20/2010
ET-7211	Annuity Payment Statement (BPS)	12/8/2010
ET-7280	Annuity Payments Suspended - Certification Forms Not Returned	9/1/1986
ET-4544	Annuity Rates Display	5/10/2004
ET-7251	Annuity System Option Codes & Benefit Types	12/23/2008
ET-4938	Appeal Form	6/14/2010
ET-9200	Appeal Letter	11/1/1997
ET-9213	Appeal to Court of Appeals	11/1/1997
ET-9215	Appeal to Supreme Court	11/1/1997
ET-8621	Applicant Consent Form	6/8/2012
ET-5365	Applicant's Checklist	7/13/2012
ET-4608	Application Control Register - Daily	1/1/2500
ET-4609	Application Control Register - Weekly	1/1/2500
ET-3302	Application for Withdrawal of Member Contributions	3/16/2011
ET-4612	Application Requirements	3/1/2011
ET-2205	Application to Purchase Other Governmental Service	10/27/2011
ET-4106	Applying for Your Retirement Benefit	1/27/2010
ET-7307	Appointment Acknowledgement Card	10/19/2010
ET-7369	Appointment Acknowledgment Card - Madison Group	3/14/2011
ET-5811	Approval Notice-Duty Disability	12/1/2008
ET-4333	Audit of Forfeited Service Purchase & Final Cost	7/1/2006
ET-4331	Audit of Uncredited Teaching Service	8/1/1999
ET-8617	Audit Project Request Form	5/1/1991

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ET-7355	Authorization For Direct Rollover	10/12/2012
ET-7358	Authorization For Direct Rollover Requirements	5/24/2011
ET-7354	Authorization For Plan-to-Plan Transfer of Section 4039(b) Funds	4/1/1999
ET-2364	Authorization to Deduct Monthly Premium for LTC Insurance	5/13/2003
ET-7414	Authorization to Disclose Medical Information	6/6/2011
ET-7406	Authorization to Disclose Non-medical Individual Personal Information	6/21/2011
ET-8533	Balance Sheet, Statement of Revenues and Expenditures	10/1/1981
ET-7223	Beginning Date Error Report	6/1/1981
ET-2320	Beneficiary Designation	12/19/2011
ET-4329	Beneficiary Designation Clarification - Joint Survivor	6/1/1998
ET-4328	Beneficiary Designation Clarification Lump Sum	6/1/1998
ET-2804	Beneficiary Designation Correction Notice	11/19/2003
ET-2338	Beneficiary Designation Correction-QDRO	8/1/1998
ET-4546	Beneficiary Designation Correspondence - Non-Standard	5/1/2000
ET-4548	Beneficiary Designation Correspondence - Standard Sequence	5/1/2000
ET-4550	Beneficiary Designation Correspondence - Trust	5/1/2000
ET-2805	Beneficiary Designation Rejection Notice	3/16/2012
ET-2411	Beneficiary Designation Request Notice	8/30/2006
ET-2321	Beneficiary Designation-Alternate	12/19/2011
ET-2337	Beneficiary Designation-Correction	6/1/1998
ET-4318	Beneficiary Request Notice	7/1/1998
ET-3304	Benefit Application (Employee & Employer Contributions)	6/25/2002
ET-4705	Benefit Appraisal Unit Timesheet	1/6/2009
ET-4934	Benefit Effective Date Request	5/1/2007
ET-7301	Benefit Info Request	11/29/2011
ET-7338	Benefit Information Backlog Statistics-Milwaukee	11/1/1987
ET-4401	Benefit Information Request Notice	7/11/2005
ET-8912	Benefit Information Survey	8/1/1990
ET-7212	Benefit Payment Statement (BPS)	12/8/2010
ET-4706	Benefit Processing Timesheet (Computations Unit)	10/1/1989
ET-8480	Benefit Supplemental Form	4/29/2008
ET-7117	Benefit/Health Fair Request Form	5/23/2012
ET-2139	Benefits for Adult Children	10/19/2010
ET-2812	Benefits Impact Report	10/1/1994
ET-7231	Benefits Pending Listing	8/1/1980
ET-8195	Benefits Transaction Pending by Worker	9/1/1994

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ET-7514	Benson Checklist	1/1/1999
ET-8927	Board Members Travel Expense Worksheet	4/30/2010
ET-9210	Board Remand Order	11/1/1997
ET-8751	Business Cards	10/29/1999
ET-4121	Buying Creditable Service	11/1/2007
ET-2207	Buying Other Government Service	9/8/2011
ET-2203	Buying Other Governmental Service Estimate	9/1/1995
ET-4931	Calculating a Post-Window Age Reduction Factor	5/10/2012
ET-4107	Calculating Your Retirement Benefits	3/24/2010
ET-8229	Calendar Ordering Form	10/11/2012
ET-2606	Cancel Variable Participation - Correction/Rejection Notice	3/31/2006
ET-2313	Canceling Variable Participation	10/20/2011
ET-8114	Car Maintenance Record & Use Log	3/11/2009
ET-8293	Career Development Program	9/23/2002
ET-8285	Career Development Program - Application for Interns	9/12/2002
ET-8284	Career Development Program - Application for Mentors	2/1/2001
ET-8287	Career Development Program - Evaluation Form	3/1/2001
ET-8286	Career Development Program - Immediate Supervisor's Reference	3/1/2001
ET-6321	Cert. of Dec. Person's Assets for Transfer of Property By Affidavit	3/30/2007
ET-4335	Certificate of Citizenship & Residency for Income Tax Withholding	4/1/2000
ET-3325	Certification Of Decedent's Assets	6/1/2000
ET-7368	Certification Of Plan-To-Plan Transfer To Buy Permissive Service Credit	4/12/2004
ET-7370	Certification of Power of Attorney	9/24/2010
ET-2315	Certification of Prior Service And Salary Record	10/10/2012
ET-4811	Certification of Unobtainability of Spousal Consent	3/17/2011
ET-7337	Certification That Guardianship Papers Are in Place	5/23/2000
ET-4551	Change Report	5/1/2000
ET-7411	Check Deposit Detail	9/1/2000
ET-7412	Child Support/Income Maintenance	9/17/2003
ET-4117	Choosing an Annuity Option	1/17/2012
ET-9212	Circuit Court Decision & Order	11/1/1997
ET-5106	Claim Filing Instructions For The ICI and LTDI Plans	8/1/2001
ET-7305	Client Data Sheet	5/17/2011
ET-8298	Come Work at ETF	9/1/2007
ET-5337	Completing a Disability Application by Fax	8/30/2006
ET-4346	Completing a Retirement Application by Fax	9/1/2006

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ET-6316	Completing the Statement of Relationship Form ($1,000+)	3/30/2007
ET-6317	Completing the Statement of Relationship Form (UNDER $1,000)	3/30/2007
ET-8501	Comprehensive Annual Financial Report	9/27/2011
ET-8501-06	Comprehensive Annual Financial Report-2006	1/1/2500
ET-8459	Computer Science Bureau Service Request	3/1/2000
ET-8282	Confidential Request for Restoration of 500 Hours of Sick Leave	6/1/2000
ET-8932	Confidentiality Agreement	9/24/2003
ET-2311	Continuation-Conversion Notice	12/6/2012
ET-4510	Continued Group Health Insurance Worksheet	9/23/2010
ET-4525	Continued Insurance Worksheet	4/26/2011
ET-2306	Conversion Information-Group Life Insurance	3/1/2010
ET-2325	Converting Your Group Life Insurance To Pay Health or LTC Insurance Premiums	10/14/2011
ET-2602	Correction/Submission Request-Life Insurance Application	1/4/2007
ET-9214	Court of Appeals Decision & Order	11/1/1997
ET-1125	Cover Letter for Payroll Report Forms (New Employers)	12/1/1987
ET-4904	Credits Reestablished	10/1/1997
ET-8485	Custom F/M Request - Oracle/Workflow Tables	1/20/2004
ET-8454	Custom File Maintenance Request-WEBS Tables	3/20/2002
ET-4559	Data Entry Worksheet for Retirement Estimates - WA 11	7/5/2012
ET-4526	Data Entry Worksheet for WEBS Estimates	6/1/2001
ET-4555	Data Entry Worksheet for WEBS Estimates - WA 11	2/28/2012
ET-8414	Data Processing Service Request	12/1/2008
ET-8484	Dataset/Library/DB2 Authorization Access Requirements	9/1/1999
ET-6402	Death Benefit Acknowledgment	8/28/2006
ET-6309	Death Benefit Estimates & Application	6/7/2004
ET-6328	Death Benefit Option Change Application	4/29/2010
ET-6503	Death Benefit Payable/Approval to Waive Formal Guardianship	5/21/2004
ET-6801	Death Benefit Summary Life Insurance	9/27/2010
ET-6504	Death Benefit Summary/Non-Annuitant	8/1/1998
ET-6101	Death Benefits	11/30/2011
ET-6507	Deceased Annuitant Summary	7/10/2004
ET-6519	Deceased Annuitant Worksheet	12/31/2008
ET-2163	Deductible SMP Booklet	4/9/2012
ET-2161	Deductible Standard Plan Booklet	4/9/2012
ET-2162	Deductible Standard PPP Booklet	4/9/2012
ET-8182	Departmental Change Card	8/1/1978

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ET-8915	Deposit Totals	4/1/1998
ET-1313	Designation of Agent	11/17/2011
ET-8597	Detail Design - Program, Screen and Report Checklist	12/1/1989
ET-8596	Detail Design Program Logic Checklist	12/1/1989
ET-8141	Detailed Worker Instructions	9/10/2007
ET-7282	Direct Deposit Authorization	12/12/2012
ET-6513	Disability Annuitant Death Benefit Worksheet	10/1/1984
ET-6515	Disability Annuitant Death Benefit Worksheet-Continuation Equivalent	6/1/1984
ET-5333	Disability Annuity Option Change Application	3/9/2011
ET-5605	Disability Application Follow-Up	8/28/2012
ET-5356	Disability Application Requirement	10/5/2010
ET-5804	Disability Approval	11/16/2012
ET-5812	Disability Benefit Cancellation	8/4/2011
ET-5805	Disability Benefit Denial	8/3/2011
ET-5302	Disability Benefit Estimate & Application	7/1/2006
ET-5926	Disability Benefit Termination	2/15/2001
ET-5927	Disability Benefit Termination Rescinded	2/15/2001
ET-5334	Disability Benefits Chart	1/3/2011
ET-5102	Disability Benefits Reference Guide	11/26/2008
ET-5606	Disability Claim/Application Summary	2/24/2012
ET-5360	Disability Definition Selection by Protective Occupation Participants	5/1/2002
ET-5502	Disability Eligibility/Service Worksheet	2/9/2012
ET-5508	Disability Eligibility/Service Worksheet - Estimate (WA 11)	3/28/2012
ET-5364	Disability Estimate Request Follow-up	11/1/2003
ET-7232	Disability Insurance Listing	8/1/1980
ET-5303	Disability Medical Report	11/16/2012
ET-5304	Disability Medical Report-Special Protective Occupation	12/15/2010
ET-5361	Disability Overpayment Collection Referral	4/14/2005
ET-5363	Disability Overpayment Letter	8/1/2001
ET-5107	Disability Retirement Benefits Folder	1/1/2500
ET-8225	Disability Self-Identification Form	11/1/2006
ET-5701	Disability Unit Timesheet	11/1/1988
ET-9066	Distribution Code/Address Data (CDAD)	2/8/2008
ET-9061	Distribution Code/Address Option Selection	5/1/2012
ET-9060	Distribution Code/Address Specifications for SOB	5/1/2012
ET-9100bis	Document Maintenance Instruction Sheet	10/31/2012

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ET-9100so	Document Maintenance Instruction Sheet	1/4/2012
ET-9100rs	Document Maintenance Instruction Sheet - Retiree Services	10/30/2012
ET-9100tf	Document Maintenance Instruction Sheet - Trust & Finance	12/12/2012
ET-2373	Domestic Partner Affidavit Acknowledgment Letter	12/1/2009
ET-2375	Domestic Partner Affidavit Missing Information Letter	12/1/2009
ET-2374	Domestic Partner Affidavit Rejection Letter	12/1/2009
ET-2166	Domestic Partner Benefits	4/5/2012
ET-2376	Domestic Partner: Termination Letter	12/1/2009
ET-8704-SOB	Double-window #10 Envelope for SOB	1/1/2500
ET-8704-SOB	Double-Window #10 Envelope for SOB w/Indicia	1/1/2500
ET-8126	DP Office Automation Equipment Inventory	3/1/1997
ET-2312	Drug Claim Form	10/1/1993
ET-2418	Duplicate Social Security Number Checklist	7/12/2010
ET-7214	Duplicates Found After Changes to Identification	8/1/1980
ET-5103	Duty Disability & Survivor Benefits Booklet	11/16/2010
ET-5911	Duty Disability Actuarial Information	8/5/2010
ET-5311	Duty Disability Application	7/1/2006
ET-5609	Duty Disability Application Summary	10/19/2011
ET-5611	Duty Disability Benefit Denial	3/23/2012
ET-5510	Duty Disability Database Overview	1/1/2500
ET-5307	Duty Disability Income Certification	9/28/2006
ET-5312	Duty Disability Medical Report	2/23/2012
ET-2541	Earnings/Contributions Reconciliation	1/1/1997
ET-4204	Effect of Employer Additional Contributions on Retirement Benefits	11/1/2003
ET-2324	Election to Convert Life Insurance To Pay Health	10/25/2007
ET-2356	Election To Participate In The Variable Trust Fund	11/1/2012
ET-4311	Election to Pay Cost of Actuarial Reduction	8/31/2003
ET-2309	Election To Reduce Amount of Life Insurance	10/1/2007
ET-2536	Electronic Reporter Transmittal	8/21/2012
ET-8224	Emergency Authorization	8/7/2012
ET-7356	Employ. Summary of Prior Employment Covered by a WPE Retirement System	1/14/2008
ET-2810	Employee ID Correction/Change	3/2/2010
ET-8240	Employee Performance Evaluation, Planning Report	3/23/2007
ET-2803	Employee Prior Service Statement	6/1/1973
ET-1531	Employee Social Security Withheld from ICI Benefits	10/1/1991
ET-2533	Employee Transaction Report	10/22/2012

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ET-2679	Employee Transaction/Batch Control Screen	1/26/2012
ET-2538	Employee Transactions - Rejected Transactions	12/1/1994
ET-2550	Employee Transactions-Processed Transactions	10/31/2005
ET-8941	Employee Trust Funds Complaint Form	7/3/2012
ET-4620	Employee/Employer Certification Annuitant Continuant Coverage- Private Pension Fund	6/1/2001
ET-5326	Employer Certification (Duty Disability)	10/13/2011
ET-6329	Employer Certification of Eligibility for Public Safety Officer Survivor Benefit Tax Exemption	10/17/2012
ET-2206	Employer Certification of Other Governmental Service	9/14/2010
ET-1532	Employer Cost of Actuarial Reduction for Retirement Before NRA	5/18/2010
ET-4549	Employer Invoice	5/1/2000
ET-1901	Employer Invoice Credit - Act 11	12/20/2000
ET-1526	Employer Invoice Detail Report	10/1/1994
ET-4547	Employer Master - Key Dollar Amount Audit Trail	5/1/2000
ET-9059	Employer Master-Key Dollar Amount Audit Trail/Late Reported Earnings Invoices	11/1/1994
ET-1137	Employer Options For Increasing Retirement	1/13/2012
ET-1301	Employer Resolution to Pay Entire Premium for	5/7/2012
ET-5607	Employer Statement (Disability Certification)	10/18/2011
ET-2570	Employer Transaction Audit	2/1/2000
ET-4552	Employer Transaction Audit	5/1/2000
ET-4814	Employer Verification of Health Insurance Coverage	5/11/2012
ET-5332	Employment History of Disability Applicant	4/13/2001
ET-8745	Enclosure Foldover Slip-Milwaukee	4/1/1986
ET-8718	Envelope - #10 Window - Milwaukee Return Address	10/1/1980
ET-8720	Envelope - 10X15 Kraft - 3rd Class	11/1/1984
ET-8705	Envelope #10 REGULAR	2/27/2004
ET-8704	Envelope #10 Window	1/30/2007
ET-8703	Envelope 10 by 13	2/1/2008
ET-8708	Envelope 9.5 by 6.5 Kraft	11/1/2000
ET-8706	Envelope-Service Purchase #10	11/22/2011
ET-8920	Equipment Transfer/Survey Worksheet	1/1/1995
ET-1518	ERA Medical Expense Account Continuation Election Form	6/21/2012
ET-2340	ERA Program Auto Premium Conversion Waiver/Revocation Of Waiver	8/9/2007
ET-1120	ERA Program Manual	1/1/1988
ET-1516	ERA Remittance Report	8/1/2002
ET-6324	Estate Recovery Program Claim Notice	2/1/2007

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ET-1154	ETF Administered Employee Benefits Options	10/1/2005
ET-1635	ETF Annuitant Monthly Coverage Report	10/24/2000
ET-1628	ETF Annuitants Health Insurance Monthly Coverage Report	10/24/2000
ET-7234	ETF Annuity File Codes	4/1/1997
ET-8907	ETF Background Facts	2/1/2011
ET-8870	ETF Board Ballot	4/3/2012
ET-8871	ETF Board Candidate Information	4/3/2012
ET-8869	ETF Board Candidate Package	9/18/2012
ET-8872	ETF Board Election Return Envelope	12/1/2007
ET-8867	ETF Board General Information	10/3/2000
ET-8748	ETF Correspondence Memorandum	4/26/2010
ET-8445	ETF Data Dictionary/Database Update Request-DB2 Columns	12/7/2004
ET-8449	ETF Data Dictionary/Database Update Request-DB2 Tables/Indexes	5/2/2002
ET-8939	ETF E-mail Updates Flyer	3/19/2011
ET-8212	ETF Employee History & Organization Manual	10/1/2006
ET-1121	ETF Employer Bulletin	4/30/1999
ET-8167	ETF Forms Standard	7/1/1985
ET-2507	ETF ID Verification List	5/1/1983
ET-2405	ETF Insurance Complaint Form	11/17/2011
ET-8741	ETF Letterhead	9/28/2000
ET-8747	ETF Notepads	1/1/2500
ET-8322	ETF Periodical/Newsletter Holdings	6/1/1990
ET-8104	ETF Project Management Framework	4/5/2011
ET-8231	ETF Publications List	1/1/2500
ET-8321	ETF Publications List	6/1/1990
ET-8558	ETF Purchasing Manual	2/26/2003
ET-8702	ETF Return Envelope	10/5/2011
ET-8263	ETF Strategic Plan	Nancy Ketterhagen
ET-8451	ETF Systems User Access Request	7/27/2011
ET-2305	Evidence Of Insurability AP (Life)	3/18/2010
ET-4321	Executive Retirement Plan Service Certification	3/1/1989
ET-1152	Existing Employer Option Selection Resolution WPE Health Insurance	9/19/2012
ET-8214	Exit Interview Questionnaire	10/10/2000
ET-4927	Explanation of Alternate Payee Annual SOB	6/29/2012
ET-7333	Explanation of Statement of Benefits	6/1/2012
ET-7262	Explanation of WRS Annuity Approval List	2/26/2002

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ET-8914	Facilities And Equipment Req	3/1/1998
ET-8929	Fact Sheet - ASLCC/SHICC	4/2/2012
ET-8904	Fact Sheet - Deferred Compensation	5/22/2012
ET-8900	Fact Sheet - ERA	4/19/2012
ET-8902	Fact Sheet - Group Health	11/30/2012
ET-8903	Fact Sheet - Group Life	5/7/2012
ET-8931	Fact Sheet - Local ICI	6/28/2011
ET-8901	Fact Sheet - WRS	10/15/2012
ET-8117	FAX Transmittal	4/6/2010
ET-6803	Federal Estate Tax Information	1/27/2004
ET-7289	Federal Withholding Requirements & Direct Rollover Option	10/6/2011
ET-8186	Fiche Reader/Printer Usage Chart	1/1/1986
ET-8603	Field Auditors Log of Work Activities	10/1/1984
ET-7346	Field Rep Request/Report	9/1/2005
ET-7342	Field Representative Work Schedule	10/1/1996
ET-8604	Field Staff Questionnaire	8/1/1984
ET-8170	Field Staff Supply Order Form	11/3/2010
ET-8180	File Request	7/1/1993
ET-9102	Filing Request	8/27/2010
ET-9205	Final Decision	11/1/1997
ET-8113	Fleet Car Scheduling Request	8/2/2004
ET-7244	Foreign Annuitants Tax Withholding Letter	6/1/2006
ET-4935	Foreign Jurisdiction QDRO to Divide WRS Benefits	5/31/2012
ET-4344	Forfeited Service Cost Calculator	7/1/2003
ET-4315	Forfeited Service Purchase Estimate/Application	10/8/2012
ET-4556	Forfeited Service Worksheet (Act 11)	8/30/2006
ET-8162	Form Change Request	4/1/2009
ET-1622	Form Letter Re: Social Security-65 Past Due UE	2/1/1986
ET-4617	Form Letter to Carriers Re: Dual Choice Enrollments - Local	10/1/1988
ET-8169	Forms Folder Routing	1/1/1988
ET-8163	Forms Inventory System-Current Forms List	4/1/1985
ET-8173	Forms/Brochure Route Slip	11/26/2003
ET-4501	Formula Annuity Worksheet	8/1/1997
ET-4523	Formula Annuity Worksheet (Post-Window)	7/1/1996
ET-4545	Formula Annuity Worksheet (WA 11)	6/23/2008
ET-4522	Formula Annuity Worksheet (Window)	12/1/1990

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ET-4502	Formula Annuity Worksheet/Merger Version	9/1/1996
ET-8919	Furniture/Equipment Request Form	2/1/1998
ET-6516	General Fund Death Benefit Worksheet	11/1/1984
ET-8568	General Journal Entry Input	3/1/1990
ET-4112	Group Health Insurance	1/20/2011
ET-1615	Group Health Insurance - Transfer Report	4/25/2007
ET-2301	Group Health Insurance Application/Change Form	8/8/2012
ET-4803	Group Health Insurance Certification	4/11/2011
ET-1118	Group Health Insurance Employer Administration Manual	10/20/2006
ET-1117	Group Life Insurance Administration Manual	6/1/2008
ET-4104	Group Life Insurance After You Terminate Employment	10/18/2006
ET-1610	Group Life Insurance Collection Report/State	3/21/2011
ET-2154	Group Life Insurance Continuation Application	8/9/2004
ET-5806	Group Life Insurance Coverage During Disability	5/1/1998
ET-2618	Group Life Insurance Evidence of Insurability Rejection Notice	6/28/2004
ET-2122	Guidelines for Agreements Resulting From Appeals of Discharge	3/1/1989
ET-7314	Health Coverage Change Instructions	12/1/1997
ET-4110	Health Insurance - Integrated with Medicare	12/24/2008
ET-1149	Health Insurance - New Employer Mailing Checklist	4/27/2010
ET-6405	Health Insurance Cancellation Request	6/1/1998
ET-4404	Health Insurance Correction Notice	9/1/2005
ET-2350	Health Insurance Election For Military Service Personnel	1/25/2010
ET-7272	Health Insurance Listing	1/26/2009
ET-1728	Health Insurance Plan Key Contacts	8/21/2012
ET-2809	Health Insurance Premium Notice	10/1/1998
ET-2807	Health Insurance Refund	11/1/2001
ET-8228	Help Desk Booklet	8/1/1994
ET-8196	Help Desk Service Log	5/1/1989
ET-8102	HIPAA Privacy Policies & Procedures	12/1/2004
ET-8218	Hiring Recommendation	10/3/2011
ET-2813	Home Address Change Insert	11/1/1989
ET-4925	How Divorce Can Affect Your WRS Benefits	10/11/2011
ET-4930	How Participation in the Variable Trust Fund Affects WRS Benefits	12/12/2011
ET-2121	How Part-Time Employment Affects Your WRS Benefits	2/24/2011
ET-1139	How To Become A Part. Emp. Under The WPE Group Health Insurance	8/1/2009
ET-1107	How to Become a Participating Employer Life Insurance	5/7/2012

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ET-1129	How to Become A Participating Employer Under the WRS	8/18/2011
ET-1140	How To Become Participating Employer Under The WPE Group ICI Program	3/1/2007
ET-4133	How to Retire	5/24/2012
ET-4134	How to Retire Introductory Letter	6/30/2012
ET-6319	How to Transfer Property by Affidavit	3/30/2007
ET-7357	How to Update Your WRS Statement of Benefits	1/3/2012
ET-8239	Human Resources Orientation	3/23/2011
ET-1150	ICI - New Employer Mailing Checklist	4/27/2010
ET-1119	ICI Administration Manual	7/26/2005
ET-5375	ICI and/or LTDI Repayment Agreement	9/29/2006
ET-2366	ICI Application - Local Government Employee	1/31/2012
ET-2308	ICI Application & Evidence of Insurability	3/9/2012
ET-2129	ICI Booklet - Local	3/31/2010
ET-2106	ICI Booklet - State Employees	11/9/2012
ET-5355	ICI Buyout	9/1/1999
ET-5352	ICI Claim Form	12/20/2011
ET-5801	ICI Correction Request	3/31/2005
ET-1145	ICI Employer Administration Manual - Local	12/1/2004
ET-5351	ICI Employer Statement	2/14/2011
ET-8918	ICI Fact Sheet - State	6/28/2011
ET-5350	ICI Medical Report	12/20/2011
ET-5915	ICI Overpayment-Repayment Overdue-WRS Deduction	9/1/1998
ET-5613	ICI Quality Review	7/1/1997
ET-5343	ICI/LTDI Departmental Determination	9/30/2006
ET-2504	Inactive Account Delete and No-Response List	4/1/1975
ET-2307	Income Continuation Insurance Application-State	1/31/2012
ET-5901	Income Continuation Insurance Report of Employment & Earnings	7/6/2010
ET-4509	Income Tax Excludable Amount Worksheet	3/18/2003
ET-5931	Income Tax Return Request	1/1/2005
ET-4310	Income Tax Withholding Election	2/3/2012
ET-4402	Income Verification	10/31/2012
ET-2424	Independent Review Summary	7/7/2011
ET-2503	Indicative Data Check	9/1/1973
ET-8295	Individual Flextime Log	3/1/1990
ET-8916	Individual Monthly Field Statistics Report	10/1/1991
ET-2363	Ineligible to Convert Life Insurance to Health Insurance/LTC Premiums	11/1/2002

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ET-2420	Informal Complaint Intake	11/20/2012
ET-6102	Information For Beneficiaries of WRS Accounts	8/5/2011
ET-4116	Information for Retirees	10/11/2012
ET-8938	Information Privacy or Security Report	12/28/2010
ET-8829	Information Technology Plan	11/1/1995
ET-2345	Initial Enrollment Application In Group Life	7/1/2010
ET-2343	Initial Offering Application For Enrollment In Group Health	8/30/2012
ET-2344	Initial Offering Application For Enrollment In ICI	1/13/2012
ET-7287	Insurance Annuity Deduction Record	3/23/2012
ET-2406	Insurance Complaint Summary	3/1/2004
ET-1806	Interest Due Notice	11/9/2000
ET-4558	Interest Underpayment Worksheet	6/15/2010
ET-8613	Interim Audit Finding Control Report	4/1/1986
ET-8605	Internal Audit Flowchart Evaluation	3/1/1980
ET-8616	Internal Audit Manual	12/1/1993
ET-8615	Internal Audit Time Sheet	8/19/2004
ET-8217	Intradepartmental Transfer Questionnaire	10/10/2000
ET-2124	Investment Earnings Distribution Report	3/27/2012
ET-8873	IRS Benefits and Compensation Limitations	10/29/2012
ET-7116	It's Your Benefit	1/1/2500
ET-8415	Job/Batch Control Slip	10/1/1980
ET-6314	Joint Survivor Death Benefit Notice	2/7/2012
ET-8541	Journal Entry/Voucher Cover Sheet	2/1/2003
ET-9211	Judicial Review	11/1/1997
ET-1640	LAHP - Health Insurance Summary	10/24/2000
ET-4709	LAHP - Retirees Monthly Health Insurance Premiums	10/24/2012
ET-2827	LAHP Application Cancelled	12/1/1988
ET-5367	Last Notice - Income Certification Request	4/1/2007
ET-2678	Late Reported Earnings/Service Corrections	1/1/1998
ET-2534	Late WRS Contributions Billing Report	12/1/1984
ET-8258	Leave Accounting Vacation Carryover Approval	10/1/1994
ET-6404	Letter Re Death Benefit (Active)	11/3/2003
ET-2341	Letter RE: Beneficiary Designation Forms (ET-2320)	1/1/2500
ET-7109	Letter Re: Delinquent Payments	10/1/1983
ET-9035	Letter Re: Local Annuitant Health Program Subscriber	10/1/1989
ET-2416	Letter Re: Notice Of Amount Owed to ETF	10/1/1990

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ET-9015	Letter to Employers Re: S&D Open Enrollment	1/1/1988
ET-4615	Letter to Health Carrier Re: Premium (New)	10/1/1988
ET-4614	Letter to Health Carrier Re: Premium (Old)	10/1/1988
ET-2105	Letter to Local Government Employee Re: Additional Supplemental Group Life Insurance	4/1/1997
ET-5372	Letter to MD Regarding Medical Recertification	5/1/2004
ET-1147	Letter To New Health Employer	1/1/2500
ET-8324	Library Acquisition Request	7/15/2000
ET-8311	Library Check-Out Slip	4/1/2001
ET-8320	Library Document Input Form	9/1/1984
ET-8313	Library Overdue Book/Periodical Notice	7/1/1986
ET-8312	Library Response Card	10/1/1986
ET-8101	Library Service Brochure	6/1/2000
ET-1151	Life Insurance - New Employer Mailing Checklist	4/7/2010
ET-2304	Life Insurance Application/Cancellation/Refusal	4/3/2012
ET-2351	Life Insurance Approval Letter	4/1/2000
ET-2101	Life Insurance Booklet State and Wisconsin Public Employees	4/6/2012
ET-7325	Life Insurance Cancellation Request Letter	11/1/2003
ET-4802	Life Insurance Certification of Coverage	2/23/2006
ET-4203	Life Insurance Continuation/Conversion After Retirement	10/19/2010
ET-7271	Life Insurance Listing	8/1/1980
ET-6805	Life Insurance Paid Death Claim Notice	12/1/2003
ET-5336	Life Insurance Premium Waiver Request	2/1/2003
ET-2164	Life Insurance Rates	3/13/2012
ET-2326	Life To Health Conversion Worksheet	4/1/2000
ET-4944	Limited Power-of-Attorney for Appeal	4/1/1999
ET-2323	Living Benefit Life Insurance Summary	4/3/2012
ET-2327	Living Benefits Brochure	12/12/2011
ET-2825	Local Annuitant Health Insurance Certification	3/2/2010
ET-9019	Local Annuitant Health Fact Sheet	1/13/2012
ET-2828	Local Annuitant Health Insurance - Effective Date	6/1/1989
ET-2330	Local Annuitant Health Insurance Application	3/18/2011
ET-2156	Local Annuitant Health Program Booklet	6/8/2012
ET-4128	Local Annuitant Health Program Medicare Supplement Insurance	2/1/1989
ET-2689	Local Annuitant Monthly Deletions Report	10/1/1999
ET-1706	Local Government Group Life Insurance Rate Schedule	3/27/2012
ET-1144	Local Health Insurance - Employer Administration Manual	7/1/2005

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ET-5315	Long Term Disability Insurance (LTDI) Employer Statement	5/1/2012
ET-5313	Long-Term Disability Benefit Claim Form	3/17/2000
ET-5108	Long-Term Disability Insurance Folder	1/1/2500
ET-5109	Long-Term Disability Insurance Reference Guide	2/3/2012
ET-5328	Long-Term Disability Insurance Summary	4/1/2008
ET-5319	LTDI Input Sheet	5/23/2012
ET-5509	LTDI - WRS Offset Worksheet	3/1/2004
ET-5366	LTDI Departmental Determination Acknowledgment	12/27/2006
ET-5321	LTDI Election Form	3/13/2002
ET-5342	LTDI Estimate	9/1/2004
ET-5339	LTDI Estimate Worksheet	4/1/1998
ET-5338	LTDI Medical Report	11/16/2012
ET-5813	LTDI Overpayment Letter	12/1/2005
ET-5329	LTDI Retirement Supplemental Benefit	5/8/2003
ET-5353	LTDI Special Medical Report	11/24/2008
ET-5323	LTDI-Recertification Medical Report For Protective Service Employees	1/14/2010
ET-7115	Lump Sum Benefit Statement	12/8/2010
ET-8296	Management Development Program	11/28/2011
ET-6901	Marital Status Certification	11/20/2012
ET-2566	Maximum Additional Contributions Worksheet	1/13/2012
ET-5603	Medical Report Correction	12/23/2005
ET-5331	Medical Treatment of Disability Recipient	12/21/2006
ET-4307	Medicare Eligibility Statement	2/28/2006
ET-4109	Medicare Enrollment for Retiring Employees	12/24/2008
ET-4111	Medicare Supplemental Insurance for Disability Retirees	3/1/2002
ET-7405	MESB Benefit Inquiry	4/30/2010
ET-4806	Military Service Acknowledgment	3/30/2007
ET-4313	Military Service Affidavit	7/14/2010
ET-4322	Military Service Certification And Affidavit - QDRO	7/14/2010
ET-4122	Military Service Credit	3/16/2010
ET-4553	Military Service Crediting Correspondence	5/1/2000
ET-4340	Military Service Worksheet	10/31/2006
ET-9208	Misc. Order, Ruling or Decision by Hearing Examiner	11/1/1997
ET-8129	Monthly Copier Report	3/17/2004
ET-1639	Monthly Health Coverage Report - Local Annuitant Health	10/24/2000
ET-7273	Monthly Insurance Coverage Reports	3/1/1984

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ET-8171	Monthly Lanier Copier Readings	11/27/2012
ET-8359	Monthly Mailing Machine Report	1/1/1994
ET-4603	Monthly Membership Report	1/1/2500
ET-5507	Monthly Payment And Offsets	8/23/2010
ET-1629	Monthly Premium Report Group ICI - Locals	1/24/2005
ET-1611	Monthly Premium Report Group ICI - State/Non-Faculty	7/1/2005
ET-1612	Monthly Premium Report Group ICI - UW Faculty	7/1/2005
ET-1515	Monthly Retirement Remittance Report	9/1/2003
ET-5325	Monthly Salary Certification	6/15/2010
ET-8315	Monthly Summary of New Library Material	4/1/1990
ET-7326	MSB - Overtime Report	9/27/2001
ET-7347	MSB Statistics	9/1/2007
ET-2167	myETF Benefits Quick Start Guide	7/3/2012
ET-2815	Name/Address Change Form	4/28/2010
ET-2802	Name/Address Correction Notice And/or Form(s) Request	3/11/2011
ET-2572	New Employee Benefit Checklist	9/6/2012
ET-8936	New Employee Orientation Facility Checklist	3/1/2007
ET-8620	New Employee Setup	2/20/2012
ET-1603	New Reporting Officers	1/1/2500
ET-6506	Non-Annuitant Death Benefit Worksheet	9/23/2011
ET-7312	Non-Routine Activity Log	12/16/2011
ET-4541	Notice of Accounts Receivables Recovered	4/1/1998
ET-6403	Notice of Annuitant Death-No Benefit Payable	9/7/2007
ET-2336	Notice Of Beneficiary Designation-Standard Sequence	5/13/1999
ET-9047	Notice of Change in Sick Leave Credit Escrow Provisions	1/1/1992
ET-2840	Notice of Creditable Coverage of Med Part D	6/1/2012
ET-6303	Notice of Death for Spouse or Dependent Child-Life Insurance	11/10/2010
ET-6301	Notice of Death-Life Insurance	11/10/2010
ET-7295	Notice of Eligibility for Lump Sum Retirement Benefit	5/1/1994
ET-4822	Notice of Final Death Benefit Annuity Calculation	9/1/2003
ET-9204	Notice of Final Decision	11/1/1997
ET-4821	Notice of Final Disability Annuity Calculation	6/23/2008
ET-4820	Notice of Final Retirement Annuity Calculation	5/12/2010
ET-4807	Notice of Ineligibility for Military Service Credit	3/1/2009
ET-9206	Notice of Informal Disposition	11/1/1997
ET-7319	Notice of Insufficient Authority to Release Information	10/8/2012

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ET-6320	Notice of Invalid Affidavit	3/30/2007
ET-7299	Notice of Law Changes That May Affect Your WRS Benefits	5/1/1994
ET-4324	Notice of Payment Due	10/1/2007
ET-7298	Notice of Possible Eligibility for Lump Sum Retirement Benefit	5/1/1994
ET-7296	Notice of Possible Ineligibility for Monthly Retirement Annuity Option	5/1/1994
ET-9202	Notice of Proposed Decision	11/1/1997
ET-9209	Notice of Remand	11/1/1997
ET-7259	Notice of Uncashed Checks	11/1/1997
ET-4922	Notice to Alternate Payee of WRS Annuity Payments	3/30/2011
ET-2826	Notice to Carrier to Refund Premiums	8/1/2004
ET-4413	Notice To Employer Re Annuity Or Lump Sum Application	7/22/2010
ET-4410	Notice to Guardian of Estate or Conservator	10/12/2006
ET-4420	Notice to Lump Sum Benefit Applicant	9/19/2003
ET-4419	Notice to Milwaukee Public Schools	1/1/1999
ET-4946	Notice to Participant RE Adjustment to Account - Pop Up Letter	9/17/2003
ET-4414	Notice to Retirement Applicant	9/1/2000
ET-4611	Notice/Forms Request	11/1/2003
ET-2208	OGS Worksheet	12/11/2011
ET-6406	Old Law Accounts and 40.60 Accounts-Paragraphs	6/1/1980
ET-8935	Ombudsperson Brochure	11/28/2012
ET-8934	Ombudsperson Services Program	5/30/2012
ET-1153	Online Network Brochure	10/2/2006
ET-1733	On-Line Network for Employers (ONE)	6/16/2008
ET-8928	Online Network For Employers Security Agreement	7/3/2012
ET-8937	Online Network for Health Plans Security Agreement	10/21/2010
ET-7112	Online Webcasts Flyer	5/17/2010
ET-4345	Option Clarification Notice	3/4/2011
ET-2367	Order to Divide Wisconsin Deferred Compensation Program Account	1/26/2010
ET-8289	Outside Employment Request	7/21/2008
ET-1517	Over/Underpayment and/or Interest Due Notice	5/1/2000
ET-5377B	Overpayment Recovery - Death - Not Receiving Payment	11/29/2011
ET-4948	Overpayment Recovery Notice to Employee of Wage Action	3/17/2011
ET-4947	Overpayment Recovery Notice to Employer of Wage Action	3/17/2011
ET-8478	Partial WRS Death SCS/Separation Benefit	5/1/2009
ET-8479	Partial WRS Retirement SCS/Annuity Benefit	5/1/2009
ET-4534	Participant Mandatory Distribution Notice	4/1/1997

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ET-8909	Participant Questionnaire	7/1/1990
ET-8283	Performance Management Improvement Program (PIP)	11/1/2000
ET-8323	Periodicals Received in ETF Library	5/1/1990
ET-4406	Permanent And Present Value of Your Life Insurance	5/2/2011
ET-8123	Permanent Property Replacement Schedule	10/1/1980
ET-4554	Personnel Data Listing	5/1/2000
ET-9217	Petition for Rehearing	11/1/1997
ET-8933	Pharmacy Benefits Program Information	11/17/2011
ET-5601	Physician Certification	8/1/1997
ET-8943	Policy Regarding Member Allegations of Discrimination/Retaliation	7/3/2012
ET-8230	Position Justification	8/12/2011
ET-7265	Postmaster Address Info Request	8/1/1999
ET-4702	Post-Retirement Benefit Adjustments Historical Summary	11/16/2007
ET-6323	Potential Affidavit Checklist	3/30/2007
ET-9201	Pre-Hearing Conference Memo	11/1/1997
ET-4521	Pre-JULY 1, 1966 Teaching Service Adjustment Worksheet for Partial Years	7/2/1989
ET-1148	Prelist Request	3/1/2009
ET-7332	Present Evaluation	11/13/2006
ET-8353	Printing Requisition Route Slip	3/15/2006
ET-1321	Prior Service Cost Study - Employees Eligible for WRS	7/3/2006
ET-1504	Prior Service Employment Record	8/1/1994
ET-8140	Procedure Template	9/10/2007
ET-4610	Processing Record (Applications)	12/1/1998
ET-8446	Project Request Form	11/1/2002
ET-8594	Project Scope and Conceptual Design Initiation	12/1/1989
ET-8105	Project Sponsors Checklist	4/5/2011
ET-8103	Project Sponsorship - Quick Reference	4/4/2011
ET-9203	Proposed Decision	11/1/1997
ET-8519	Purchasing Card Record	3/20/2012
ET-4928	QDRO Acknowledgment	4/13/2005
ET-4536	QDRO Data Entry Form	9/1/1997
ET-4933	QDRO Military for Non-Annuitant	1/25/2001
ET-4942	QDRO Notice of Ineligibility for Military Service Credit	3/18/2010
ET-4524	QDRO Present Value Worksheet	6/1/2010
ET-4923	QDRO Rejection Notice	7/1/2006
ET-4535	QDRO Split Calculation Spreadsheet	9/1/1997

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ET-4926	QDRO to Divide WRS Benefits	7/11/2011
ET-4314	Qualifying Service Purchase Estimate/Application	10/12/2006
ET-8816B	Rates, Salary Index & Indexed Items	10/25/2012
ET-7106	Receipt For Prepayment Of Lump Sum Distribution	4/1/1981
ET-1634	Receipt Remittance Advice Allocation	5/31/2001
ET-1614	Receipt Remittance Advice Allocation/Insurance	6/22/2001
ET-5358	Receiving s. 40.65 - Must Apply for Retirement	7/23/2007
ET-5909	Recertification Medical Report	11/16/2012
ET-7364	Reciprocity Brochure	11/21/2007
ET-7366	Reciprocity Election	11/1/2007
ET-7360	Reciprocity Rejection Notice	9/1/2008
ET-7317	Record Inquiry Response	1/19/2006
ET-5921	Record of Certified Tax Returns	9/1/1994
ET-8189	Records Management Phone Requests	10/1/1987
ET-8187	Records Management Program	5/27/2010
ET-8184	Records Management Weekly Statistics	7/1/1995
ET-4532	Regular Retirement Fund Adjustment	1/1/2009
ET-2319	Rehired Annuitant Election	7/13/2012
ET-9031	Rehired Annuitant Letter	6/1/1989
ET-9030	Rehired Annuitant WRS Insurance Information	6/1/1989
ET-2569	Rejected Descriptive/Enrollment Changes	2/1/2000
ET-2537	Rejected Enrollment Transactions	9/1/1994
ET-2571	Rejected Transactions	2/1/2000
ET-2599	Rejected Transactions - In-house	12/1/1992
ET-2601	Rejection Notice/Evidence of Insurance	5/13/2005
ET-2561	Report for QDRO Year Earnings/Contributions	9/28/2011
ET-2564	Report of Current Year Service/Earnings	2/27/2002
ET-7270	Report of New Annuitants	8/1/1979
ET-2423	Request For Accounting Of Disclosures Of Protected Health Information	9/1/2003
ET-5402	Request for Accumulated Leave Credit	10/13/2006
ET-2422	Request For Correction/Amendment Of Protected Health Information	9/1/2003
ET-5306	Request for Disability Premium Waiver	4/6/2012
ET-4616	Request for Employee Transaction Report	12/10/2009
ET-6407	Request for Information Letter	9/1/1998
ET-8518	Request for Legal Service	3/13/2008
ET-8464	Request for New Program/Stored Procedure Number	4/16/2010

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ET-8467	Request for New Report ID	6/14/2010
ET-2314	Request For Treatment as an Assistance Eligible Individual	4/1/2009
ET-5930	Request for Updated Information	6/1/2010
ET-2402	Request for Verification of Employee Identification Information	10/1/1998
ET-1633	Request for W-2 Form Information	4/1/1988
ET-8457	Request of Transfer of Webs	6/14/2010
ET-2421	Request to Copy Medical Information	5/4/2006
ET-2829	Requisition for Evidence of Medicare Coverage, Local Annuitant Health Program	8/1/1989
ET-1322	Resolution to Withdraw From the WPE Group ICI Program	4/1/2001
ET-1303	Resolution for Inclusion Under Group Life Insurance	3/25/2010
ET-1326	Resolution for Inclusion Under Income Continuation Insurance	5/3/2012
ET-1325	Resolution for Inclusion Under Second Group Health Plan	8/28/2012
ET-1324	Resolution for Inclusion Under WPE Group Health Insurance	10/26/2011
ET-1319	Resolution of Inclusion Under WRS	9/1/2000
ET-1311	Resolution to Increase Prior Creditable Service	8/1/2002
ET-1318	Resolution to Withdraw from the WPE Group Health Insurance	8/29/2012
Program		
ET-1307	Resolution to Withdraw from the WPE Group Life Insurance Program	4/1/2001
ET-8942	Retaliation and Discrimination Complaint Cover Letter	7/3/2012
ET-4119	Retired PSO Ins Prem Deduction- Q & A	1/14/2009
ET-4330	Retired PSO Ins Prem Deduction - Authorization form	1/14/2009
ET-4118	Retired PSO Insurance Premium Deduction Program Brochure	1/14/2009
ET-4701	Retirees Monthly Health Insurance Premiums	10/31/2012
ET-1730	Retirees Monthly Health Insurance Premiums (Local)	10/31/2012
ET-4708	Retirees Monthly Health Insurance Rates - Local	10/8/2012
ET-4707	Retirees Monthly Health Insurance Rates - State	10/8/2012
ET-4319	Retirement Annuity Option Change Application	3/9/2011
ET-4540	Retirement Application Lump Sum Report	4/1/1998
ET-4543	Retirement Application System Change Report	4/1/1998
ET-4301	Retirement Benefit Estimate And Application	11/26/2008
ET-4417	Retirement Benefit Updated Estimates - To Applicant	9/1/2000
ET-4418	Retirement Benefit Updated Estimates - To File	9/1/2000
ET-8703-RET	Retirement Envelope 10 by 13 Tyvek White	2/27/2008
ET-4207	Retirement Estimate Request	3/1/2011
ET-4538	Retirement Final Calculation Worksheet	4/1/1998
ET-4539	Retirement Suspend Worksheet	4/1/1998

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ET-7293	Return of Annuity Check Due to Death	11/29/2011
ET-6325	Review of Accts of Annuitants Deceased More Than 6 months	4/1/2008
ET-6327	Review of Accts of Deceased Annuitants w/ Guaranteed Payments	4/1/2008
Remaining		
ET-6326	Review of Accts of Participants Deceased for 5 years or more	4/1/2008
ET-2349	Review of Settlement	10/1/1999
ET-7515	Reviewing Grievance/Arbitration Award Settlement to Determine WRS & Insurance Eligibility	12/11/2003
ET-4640	Rights Codes/Interest Rates/Benefit Rights	7/1/2009
ET-7113	Road to Retirement	4/20/2011
ET-8341	Route Slip - Insurance Services	11/1/1998
ET-8176	Route Slip for New & Revised Forms - First Floor Excluding Room 171	7/1/1991
ET-8174	Route Slip for New & Revised Forms - PD&E	7/1/1991
ET-8175	Route Slip for New & Revised Forms - Room 171 & Second Floor	7/1/1991
ET-5371	S 40.63 Termination Checklist	5/29/2004
ET-5359	s. 40.65 - Awaiting Receipt of Retirement Application	2/2/2006
ET-8118	SAMS Forms Order	10/24/2002
ET-8133	SAMS Mail Services Order	10/17/2002
ET-8131	SAMS Postal Report	5/1/1990
ET-8139	SAMS Weekly Statistics	11/2/2012
ET-5928	Second Notice State/Federal Income Tax Certification	6/19/2012
ET-4415	Second Request to Submit Termination Transaction	3/1/1998
ET-7240	Selected Estimated Records	1/1/1982
ET-3301	Separation Benefit Application	9/4/2012
ET-3101	Separation Benefits	11/1/2012
ET-3104	Separation Packet Cover Letter	5/10/2011
ET-4416	Service Purchase Acknowledgment Notice	4/1/1998
ET-4561	Sick Leave Account Depletion Letter	11/15/2012
ET-4132	Sick Leave Conversion Credit Program	5/30/2009
ET-4563	Sick Leave Credit Certification	1/1/2500
ET-4305	Sick Leave Escrow Application	1/24/2012
ET-4317	Sick Leave Re-enrollment Application	4/25/2011
ET-4562	Sick Leave Statement	11/15/2012
ET-8262	Signature Authorizations for Administrative Matters	10/2/2012
ET-4334	Simultaneous Service/Overlap	3/1/2009
ET-7107	Single Sum Benefit 1099R Statement	9/1/1983
ET-7105	Single Sum Benefit Counts	2/22/2007

DOCUMENT NUMBER	TITLE	REVISION
ET-7104	Single Sum Benefits Weekly Processing Schedule	2/1/1996
ET-8278	Social Committee Brochure	3/23/2012
ET-5316	Social Security Administration - Authorization for Release of Personal Information	12/21/2006
ET-5104	Social Security Contributions For ICI Benefits	12/1/1989
ET-4557	Solie/Baxter Checklist	10/1/2005
ET-8486	Special Application Request form for Network Dial-In	8/1/1999
ET-4932	Special Concerns Related to Accelerated Payment Options	10/29/2010
ET-6312	Special Milwaukee Teachers' Death Benefit Application	11/1/1997
ET-9044	Special Notice to Retiring Variable Participants	1/1/1991
ET-4810	Spousal Consent for Benefit Payment	9/29/1999
ET-6804	Spouse & Dependent Life Insurance Conversion Notice	9/29/2006
ET-8215	Standard Exit Interview Questions	10/10/2000
ET-2131	Standard Plan - Local	4/4/2012
ET-2112	Standard Plan - State	2/1/2012
ET-2160	Standard PPP Booklet	4/9/2012
ET-9100	Stapling/Override Cover Sheet	1/1/1988
ET-9100ms	Stapling/Override Cover Sheet-Member Services	6/8/2011
ET-4320	State Executive Retirement Plan Service Purchase Estimate/ Application	4/1/1989
ET-1705	State Group Life Insurance Rate Schedule	3/27/2012
ET-4113	State Medicare Plus	1/1/2011
ET-9207	State Records Center Tracking Form	11/1/1997
ET-7413	State Tax Levy	9/17/2003
ET-5918	State/Federal Income Tax Certification	4/18/2012
ET-5920	State/Federal Income Tax Certification-Second Notice	2/8/2008
ET-5925	State/Federal Income Tax Certification-Third Request	8/17/2012
ET-7103	Statement For Annuitants - 1099R	11/1/2009
ET-7324	Statement of Account (Manual)	8/30/2012
ET-4924	Statement of Account After Division Per a QDRO	5/23/2012
ET-5905	Statement Of Annual Earnings From Disability Annuitant	11/16/2012
ET-7365	Statement of Benefits	2/8/2008
ET-6306	Statement of General or Natural Guardian	9/1/1998
ET-6305	Statement of Identity-Standard Sequence	3/1/2009
ET-6322	Statement of Relationship for Transfer of Benefit By Affidavit	3/30/2007
(UNDER $1,000)		
ET-6315	Statement of Relationship for Transfer of Benefits by Aff. ($1,000+)	2/28/2007
ET-8803	Statutes Cross Reference (New to Old)	5/1/1982

DOCUMENT NUMBER	TITLE	REVISION
ET-8804	Statutes Cross Reference (Old to New)	5/1/1982
ET-7264	Stop Payment / Duplicate Check Request	9/1/2004
ET-8827	Strategic Business Plan	7/8/2008
ET-8340	Subject File Headings	11/1/1985
ET-9025	Summary of Major Provisions of Wisconsin ACT 13, The Early Retirement Law Effective May 16, 1989	5/1/1989
ET-4759	Summary of Solie/Baxter File Review	11/1/2005
ET-6518	Summary of Survivor Benefits	3/28/2012
ET-8213	Supervisor Checklist for New Employee Orientation	1/26/2011
ET-8261	Supervisor Manual	5/1/2007
ET-8248	Supervisor Suggestion Form	11/1/1993
ET-2368	Supplement to Order Wisconsin Deferred Compensation Program Account	1/26/2010
ET-8130	Supply & Mail Services Requisition	11/29/2001
ET-9216	Supreme Court Decision & Order	11/1/1997
ET-6401	Survivor Benefit Information	9/26/2002
ET-6330	Survivor Certification of Eligibility for Public Safety Officer Survivor Benefit Tax Exemption	1/1/2500
ET-6203	Survivor Eligibility To Continue Health Insurance	5/4/2010
ET-8595	Task Completion Summary	12/1/1989
ET-4125	Tax Liability On WRS Benefits	12/17/2008
ET-4912	Tax Reform Decedent Letter	5/1/1987
ET-8851	Teacher Board Election	12/1/1983
ET-8854	Teacher Board Election - Ballot - Annuitant	12/1/1983
ET-8861	Teacher Board Election - Ballot - Milwaukee Public School Teacher	12/1/1984
ET-8865	Teacher Board Election - Ballot - Milwaukee Teacher Member	1/1/2000
ET-8850	Teacher Board Election - Ballot - VTAE	12/1/1998
ET-8857	Teacher Board Election - Ballot Envelope - Annuitant	2/1/1987
ET-8855	Teacher Board Election - Ballot Packet Cover Letter to Employer	12/1/1991
ET-8862	Teacher Board Election - Candidate Info Insert - Milwaukee Teacher	1/1/2000
ET-8853	Teacher Board Election - Candidate Information Insert - Annuitant	12/1/1992
ET-8849	Teacher Board Election - Candidate Information Insert - VTAE	12/1/1992
ET-8845	Teacher Board Election - Candidate Information Request-Public	12/12/2001
ET-8856	Teacher Board Election - Computer List	8/1/1983
ET-8864	Teacher Board Election - Envelope	12/1/1997
ET-8859	Teacher Board Election - Letter Re: Ballot Packet Not Distributed	12/1/1986
ET-8860	Teacher Board Election - Milwaukee	12/1/1989
ET-8858	Teacher Board Election - Return Envelope - Annuitant	12/1/1997

DOCUMENT NUMBER	TITLE	REVISION
ET-8852	Teacher Board Election - Return Envelope - VTAE	12/1/1983
ET-8840	Teacher Board Election Candidate Information-Annuitant	12/1/1997
ET-8841	Teacher Board Election Nomination Petition-VTAE	9/1/1997
ET-8848	Teacher Board Election- Return Envelope	12/1/2000
ET-8843	Teacher Board Election-Candidate Information Request	9/1/1997
ET-8846	Teacher Board Retirement Election Ballot	12/1/1983
ET-8842	Teacher Retirement Board Nomination Petition-Public School Member	12/12/2001
ET-8844	Teacher Retirement Board-General Information	1/11/2001
ET-5354	Telephone Checklist For New Disability Application/Claim	6/4/2012
ET-7348	Telephone Message Center	4/13/2010
ET-8249	Temporary Reassignment Program Evaluation Form	9/30/2003
ET-1503	Termination of Variable Participation - Employer Code Summary (ST)	2/1/1981
ET-1502	Termination of Variable Participation - Employer Code Summary (WRF)	10/1/1980
ET-1802	Termination of Variable Participation List (ST)	2/1/1981
ET-1136gr	Terms And Conditions For Group Health Plans Final (green)	10/1/2012
ET-1136bl	Terms And Conditions For Group Health Plans-Tracked Changes (blue)	10/1/2012
ET-8294	Time Log	1/1/1990
ET-4542	Totals for Money Balance that Were Loaded	4/1/1998
ET-7222	Totals Report After Processing WRF/ST/MT Increase	6/1/1981
ET-8241	Training Request Report	7/12/2012
ET-2543	Transaction Impact Report	10/1/1994
ET-9101	Transfer Document	9/29/2006
ET-8926	Travel Expense Report	10/11/2012
ET-8370	Trusty News	2/1/1988
ET-8371	Turnaround Document FAX List	12/1/1993
ET-4323	Uncredited Teaching Service Purchase Estimate/Application	9/17/2003
ET-8254	Use of Vacation Credits	10/31/2012
ET-4560	USERRA Certification	9/26/2012
ET-2573	USERRA Make-Up Contributions Monthly Tracking Report	2/6/2012
ET-8250	Vacation Schedule	10/15/2012
ET-7229	Valuation Error List	6/1/1980
ET-7228	Valuation Summary	1/1/1981
ET-1805	Variable Annuity Acknowledgment 305-10A	7/1/1981
ET-1803	Variable Cancellation Acknowledgment (WRF) 305-21	2/1/1981
ET-2361	Variable Election Acknowledgment	7/1/2002
ET-2359	Variable Election Rejection Notice	12/1/2000

DOCUMENT NUMBER	TITLE	REVISION
ET-2362	Variable Election Rejection Notice (WEBS-Generated)	7/1/2002
ET-5362	Verification of Employment	11/1/2003
ET-2403	Verification of Teaching Experience	2/1/1994
ET-7330	Verification of WRS System Service for Out-of-State Credit	3/22/2001
ET-8910	Video Presentation Questionnaire	8/1/1990
ET-7217	Voucher Totals on Checkwriting and Y-T-D Accumulations	7/1/1981
ET-2417	Waiver of Benefit Payments Letter	4/30/1999
ET-5357	Waiver of Benefits Under 40.65	3/1/2000
ET-6308	Waiver of Death Benefit Payment	11/16/2011
ET-4303	Waiver of Part-Time Elected Service	12/20/2006
ET-4308	Waiver of WRS Benefit Payments	3/2/2011
ET-2530	WEBS Contribution Rates	9/1/1980
ET-8149	WEBS User Procedure Documentation	8/1/1989
ET-8146	WEBS User Procedure Inquiry	2/1/1989
ET-8729	Window Envelope #10 With Indicia	1/1/2003
ET-1533	Wire Transfers Sheet	1/1/1997
ET-7367	Wisconsin Act 11 SOB Supplement	11/1/2001
ET-2165	Wisconsin Public Employers SMP Plan	1/1/2012
ET-8923	Wisconsin Sales & Use Tax Exempt Certification	5/10/2010
ET-8356	WiSMART Payroll Adjustment Form	6/2/2000
ET-3103	Withdrawal Benefits	4/1/1995
ET-8612	Work paper Index	7/1/1997
ET-4517	Worksheet for Adjustment to Investment in Contract (IIC)	10/1/1988
ET-2159	WPE Addendum - Deductible HMO - Deductible Standard PPP	9/16/2011
ET-2158	WPE Addendum - Deductible HMO-Deductible Standard Plan	10/9/2012
ET-2157	WPE Addendum - Traditional HMO, Deductible Standard PPP	9/16/2011
ET-4341	Write-Off Account Form	1/10/2012
ET-7336	WRS Account Value	12/28/2011
ET-8477	WRS Death SCS/Separation Benefit	11/30/2012
ET-1127	WRS Employer Administration Manual	11/24/2010
ET-2414	WRS Employment History - Local Elected	9/1/1988
ET-2316	WRS Enrollment	12/29/2011
ET-7114	WRS Group Retirement Session Flyer	3/24/2011
ET-7373	WRS Interest Crediting	9/2/2011
ET-2365	WRS Internal Enrollment	8/1/2003
ET-7402	WRS News	1/1/1988

DOCUMENT NUMBER	TITLE	REVISION
ET-1715	WRS Previous Service Checks	3/15/2012
ET-7410	WRS Publications	10/31/2012
ET-8599	WRS Retirement SCS/Annuity Benefit	4/1/2009
ET-8158	Xerox Monthly Copier Readings Fax	5/10/2010
ET-2119	Your Benefit Handbook	11/30/2011
ET-7335	Your WRS Creditable Service	4/12/2010

E.6 ETF EMPLOYERS

The table below contains a complete list (as of January 23, 2013) of all of the employers who are members of ETF. The darker rose background indicates employers, e.g., #79, Price County, which do not yet file their reports on-line.

Table 86 ETF Employers

NBR	EIN	EMPLOYER NAME	EMPLOYEES
1	0001101	EXECUTIVE OFFICE	39
2	0001102	LIEUTENANT GOVERNOR'S OFFICE	4
3	0001103	SECRETARY OF STATE'S OFFICE	4
4	0001104	TREASURER'S OFFICE - STATE	11
5	0001105	JUSTICE, DEPT OF	584
6	0001106	PUBLIC INSTRUCTION, DEPT OF	633
7	0001107	MILITARY AFFAIRS, DEPT OF	472
8	0001108	ADMINISTRATION, DEPT OF	894
9	0001109	AGRIC TRADE CONS PROT, DEPT OF	558
10	0001110	EMPLOYEE TRUST FUNDS, DEPT OF	238
11	0001111	HEALTH SERVICES, DEPT OF	5638
12	0001112	WORKFORCE DEVELOPMENT, DEPT OF	1614
13	0001114	NATURAL RESOURCES, DEPT OF	3037
14	0001115	SAFETY & PROFESS SVCES, DEPT OF	295
15	0001116	REVENUE, DEPT OF	931
16	0001117	TRANSPORTATION, DEPT OF	3210
17	0001118	VETERANS AFFAIRS, DEPT OF	1220
18	0001120	EMPLOYMENT RELATIONS COMMISSION	18
19	0001121	EDUCATIONAL COMMUNICATIONS BOARD	53
20	0001122	HIGHER EDUCATIONAL AIDS BOARD	11
21	0001124	HISTORICAL SOCIETY - STATE	249
22	0001125	INSURANCE COMMISSIONR'S OFFICE	141
23	0001126	INVESTMENT BOARD	145
24	0001127	PUBLIC SERVICE COMMISSION	127
25	0001131	UNIVERSITY OF WISCONSIN SYSTEM	30902
26	0001132	WISCONSIN TECHNICAL COLLEGE SYS BOARD	62
27	0001133	LEGISLATURE - SENATE	178
28	0001134	LEGISLATURE ASSEMBLY - CHIEF CLERK	273

NBR	EIN	EMPLOYER NAME	EMPLOYEES
29	0001135	LEGISLATURE ASSEMBLY-SGT AT ARMS	9
30	0001136	LEGISLATIVE AUDIT BUREAU	79
31	0001137	LEGISLATIVE COUNCIL STAFF	25
32	0001138	LEGISLATIVE REFERENCE BUREAU	58
33	0001139	REVISOR OF STATUTES BUREAU	0
34	0001140	JOINT SURVEY COMMISSION ON RETIREM SYS	0
35	0001142	COURTS - STATE	844
36	0001143	JUDICIAL COUNCIL	1
37	0001147	LEGISLATIVE FISCAL BUREAU	29
38	0001151	ETHICS BOARD	0
39	0001153	HOUSING & ECON DEVELOP AUTH	156
40	0001154	ARTS BOARD	0
41	0001155	ELECTIONS BOARD	0
42	0001157	STATE FAIR PARK BOARD	126
43	0001158	PUBLIC DEFENDER'S OFFICE	583
44	0001160	EMPLOYMENT RELATIONS,OFFICE OF	45
45	0001163	JUDICIAL COMMISSION	2
46	0001165	COMMERCE, DEPT OF	0
47	0001166	BOARD AGING & LONG TERM CARE	35
48	0001171	HEALTH & EDUC FACILITIES AUTH	4
49	0001172	WISCRAFT INC - ENT FOR BLIND	40
50	0001176	CORRECTIONS, DEPT. OF	9642
51	0001177	DISTRICT ATTORNEYS	441
52	0001178	LOWER WISCONSIN STATE RIVERWAY BD.	2
53	0001180	TOURISM, DEPARTMENT OF	38
54	0001182	FINANCIAL INSTITUTIONS, DEPT	136
55	0001183	UW HOSPITAL AUTHORITY	6939
56	0001184	UW HOSPITAL BOARD	0
57	0001185	BRD OF COMMSRS OF PUBLIC LANDS	12
58	0001187	LEGISLATIVE TECH SERV BUREAU	41
59	0001190	FOX RIVER NAVIGATION SYS AUTH	9
60	0001191	GOVERNMENT ACCOUNTABILITY BD	33
61	0001192	HLTH INS RISK-SHARNG PLAN AUTH	4
62	0001193	BD FOR PEOPLE WITH DEVELOP DIS	6

NBR	EIN	EMPLOYER NAME	EMPLOYEES
63	0001194	CHILDREN & FAMILIES, DEPT OF	686
64	0001195	QUALITY HOME CARE AUTHORITY	0
65	0001196	WISCONSIN ECON DEVELOP CORP	82
66	0002000	BURNETT COUNTY	155
67	0003000	CLARK COUNTY	493
68	0004000	DOOR COUNTY	344
69	0005000	FLORENCE COUNTY	76
70	0006000	GRANT COUNTY	447
71	0007000	GREEN LAKE COUNTY	180
72	0008000	IRON COUNTY	77
73	0009000	JUNEAU COUNTY	236
74	0010000	MONROE COUNTY	385
75	0011000	OCONTO COUNTY	257
76	0012000	PIERCE COUNTY	268
77	0013000	POLK COUNTY	477
78	0014000	PORTAGE COUNTY	567
79	0015000	PRICE COUNTY	150
80	0016000	SAUK COUNTY	601
81	0017000	SAWYER COUNTY	190
82	0018000	VERNON COUNTY	299
83	0019000	WALWORTH COUNTY	805
84	0020000	WASHBURN COUNTY	157
85	0021000	WAUPACA COUNTY	423
86	0022000	WAUSHARA COUNTY	240
87	0023000	MONTREAL, CITY OF	4
88	0024000	MINERAL POINT, CITY OF	16
89	0025000	OCONOMOWOC, CITY OF	141
90	0026000	SPOONER, CITY OF	30
91	0027000	CAMERON, VILLAGE OF	12
92	0028000	LENA, VILLAGE OF	6
93	0029000	WEST SALEM, VILLAGE OF	20
94	0030000	BLOOMING GROVE, TOWN OF(DANE)	10
95	0032000	ASHLAND COUNTY	154
96	0033000	BAYFIELD COUNTY	172

NBR	EIN	EMPLOYER NAME	EMPLOYEES
97	0034000	COLUMBIA COUNTY	496
98	0035000	IOWA COUNTY	249
99	0036000	MARQUETTE COUNTY	156
100	0037000	PEPIN COUNTY	96
101	0038000	RICHLAND COUNTY	301
102	0039000	SHAWANO COUNTY	357
103	0040000	ADAMS, CITY OF	16
104	0041000	BLOOMER, CITY OF	6
105	0042000	CHILTON, CITY OF	23
106	0043000	CHIPPEWA FALLS, CITY OF	122
107	0044000	CLINTONVILLE, CITY OF	56
108	0045000	DURAND, CITY OF	13
109	0046000	FENNIMORE, CITY OF	24
110	0047000	GILLETT, CITY OF	15
111	0048000	HILLSBORO, CITY OF	14
112	0049000	HURLEY, CITY OF	21
113	0050000	JEFFERSON, CITY OF	73
114	0051000	KEWAUNEE, CITY OF	21
115	0052000	KIEL, CITY OF	32
116	0053000	LAKE MILLS, CITY OF	60
117	0054000	LOYAL, CITY OF	7
118	0055000	MAYVILLE, CITY OF	39
119	0056000	MEDFORD, CITY OF	39
120	0057000	NEILLSVILLE, CITY OF	24
121	0058000	NEW LISBON, CITY OF	18
122	0059000	OMRO, CITY OF	23
123	0060000	PARK FALLS, CITY OF	31
124	0061000	PESHTIGO, CITY OF	6
125	0062000	PHILLIPS, CITY OF	18
126	0063000	PRINCETON, CITY OF	11
127	0064000	REEDSBURG, CITY OF	95
128	0065000	STANLEY, CITY OF	17
129	0066000	STURGEON BAY, CITY OF	91
130	0067000	TOMAHAWK, CITY OF	36

NBR	EIN	EMPLOYER NAME	EMPLOYEES
131	0068000	WASHBURN, CITY OF	25
132	0069000	WAUPACA, CITY OF	76
133	0070000	WHITEWATER, CITY OF	93
134	0071000	AMHERST, VILLAGE OF	5
135	0072000	ARGYLE, VILLAGE OF	7
136	0073000	ATHENS, VILLAGE OF	6
137	0074000	BANGOR, VILLAGE OF	14
138	0075000	BELLEVILLE, VILLAGE OF	21
139	0076000	BELMONT, VILLAGE OF	8
140	0077000	BIRNAMWOOD, VILLAGE OF	1
141	0078000	BRANDON, VILLAGE OF	7
142	0079000	CAMBRIA, VILLAGE OF	6
143	0080000	CAMPBELLSPORT, VILLAGE OF	12
144	0081000	CHENEQUA, VILLAGE OF	12
145	0082000	CLEAR LAKE, VILLAGE OF	11
146	0083000	COON VALLEY, VILLAGE OF	7
147	0084000	CORNELL, CITY OF	15
148	0085000	DRESSER, VILLAGE OF	7
149	0086000	ELKHART LAKE, VILLAGE OF	14
150	0087000	ELMWOOD, VILLAGE OF	7
151	0088000	ETTRICK, VILLAGE OF	5
152	0091000	JACKSON, VILLAGE OF	37
153	0092000	JOHNSON CREEK, VILLAGE OF	21
154	0093000	KENDALL, VILLAGE OF	4
155	0094000	KIMBERLY, VILLAGE OF	46
156	0095000	LITTLE CHUTE, VILLAGE OF	65
157	0096000	LUCK, VILLAGE OF	14
158	0097000	LUXEMBURG, VILLAGE OF	7
159	0098000	MONTFORT, VILLAGE OF	5
160	0099000	NEW GLARUS, VILLAGE OF	20
161	0100000	OSCEOLA, VILLAGE OF	20
162	0102000	PARDEEVILLE, VILLAGE OF	12
163	0103000	PLAINFIELD, VILLAGE OF	8
164	0105000	PRAIRIE DU SAC, VILLAGE OF	20

NBR	EIN	EMPLOYER NAME	EMPLOYEES
165	0106000	ST CROIX FALLS, CITY OF	18
166	0107000	SOUTH WAYNE, VILLAGE OF	2
167	0108000	SUN PRAIRIE, CITY OF	51
168	0111000	WILLIAMS BAY, VILLAGE OF	26
169	0112000	WINNECONNE, VILLAGE OF	20
170	0113000	WRIGHTSTOWN, VILLAGE OF	12
171	0114000	ADDISON, TOWN OF(WASHINGTON)	4
172	0115000	ALLOUEZ, VILLAGE OF	47
173	0117000	AZTALAN, TOWN OF(JEFFERSON)	6
174	0119000	BROTHERTOWN, TOWN OF(CALUMET)	1
175	0120000	BUCHANAN, TOWN OF(OUTAGAMIE)	4
176	0122000	CLOVER,TOWN OF (BAYFIELD)	3
177	0125000	DELAVAN, TOWN OF (WALWORTH)	27
178	0126000	DELTON, TOWN OF (SAUK)	4
179	0127000	DRAPER, TOWN OF (SAWYER)	3
180	0128000	EAST TROY, TOWN OF(WALWORTH)	13
181	0131000	GILMAN, TOWN OF (PIERCE)	1
182	0132000	GOODMAN, TOWN OF(MARINETTE)	2
183	0134000	HAMBURG, TOWN OF (VERNON)	2
184	0141000	MINOCQUA, TOWN OF(ONEIDA)	34
185	0144000	MT PLEASANT, VILLAGE OF(RACINE	150
186	0145000	OAK CREEK, CITY OF	292
187	0147000	PLEASANT SPRINGS, TOWN(DANE)	4
188	0149000	PRESQUE ISLE, TOWN OF(VILAS)	8
189	0153000	RIPON, TOWN OF(FOND DU LAC)	2
190	0155000	SHARON, TOWN OF (WALWORTH)	2
191	0159000	VIROQUA, TOWN OF (VERNON)	3
192	0163000	WESTFIELD, TOWN OF (SAUK CO)	1
193	0164000	WEST SWEDEN, TOWN OF (POLK)	1
194	0165000	WINTER, TOWN OF (SAWYER)	4
195	0166000	COLUMBUS, CITY OF	50
196	0167000	DODGEVILLE, CITY OF	35
197	0168000	TOMAH, CITY OF	95
198	0169000	ABBOTSFORD, CITY OF	11

NBR	EIN	EMPLOYER NAME	EMPLOYEES
199	0170000	CEDAR GROVE, VILLAGE OF	8
200	0171000	EDGAR, VILLAGE OF	6
201	0172000	HAZEL GREEN, VILLAGE OF	9
202	0174000	VALDERS, VILLAGE OF	9
203	0175000	VERONA, CITY OF	67
204	0176000	BARABOO, TOWN OF (SAUK)	3
205	0179000	CLEAR LAKE, TOWN OF (POLK)	1
206	0180000	CLINTON, TOWN OF (BARRON)	2
207	0183000	FREEDOM, TOWN OF (SAUK)	1
208	0184000	GIBRALTAR, TOWN OF (DOOR)	5
209	0186000	ALMA SCHOOL DISTRICT	42
210	0189000	CORNELL SCHOOL DISTICT	57
211	0192000	GOODMAN-ARMSTRONG SCHOOL DIST	23
212	0193000	LAKE MILLS AREA SCHOOL DIST	166
213	0194000	LITTLE CHUTE AREA SCHOOL DIST	174
214	0195000	LUCK SCHOOL DISTRICT	77
215	0198000	MELLEN SCHOOL DISTRICT	28
216	0200000	OCONOMOWOC AREA SCHOOL DIST	363
217	0201000	RICHLAND SCHOOL DISTRICT	204
218	0202000	SPOONER AREA SCHOOL DISTRICT	154
219	0207000	ADAMS COUNTY	252
220	0208000	BUFFALO COUNTY	113
221	0209000	OUTAGAMIE COUNTY	1093
222	0210000	BRODHEAD, CITY OF	39
223	0211000	CHETEK, CITY OF	7
224	0212000	DARLINGTON, CITY OF	26
225	0213000	DELAVAN, CITY OF	83
226	0214000	FOUNTAIN CITY, CITY OF	6
227	0215000	GALESVILLE, CITY OF	12
228	0216000	MAUSTON, CITY OF	37
229	0217000	OCONTO, CITY OF	47
230	0218000	SEYMOUR, CITY OF	26
231	0219000	THORP, CITY OF	15
232	0220000	BIRON, VILLAGE OF	6

NBR	EIN	EMPLOYER NAME	EMPLOYEES
233	0221000	CENTURIA, VILLAGE OF	9
234	0222000	CLINTON, VILLAGE OF	16
235	0223000	COLFAX, VILLAGE OF	19
236	0224000	EAST TROY, VILLAGE OF	28
237	0225000	FALL CREEK, VILLAGE OF	17
238	0226000	FREDERIC, VILLAGE OF	10
239	0227000	GRESHAM, VILLAGE OF	7
240	0228000	HARTLAND, VILLAGE OF	61
241	0229000	MUSCODA, VILLAGE OF	15
242	0230000	NORTH FOND DU LAC, VILLAGE OF	41
243	0231000	ORFORDVILLE, VILLAGE OF	11
244	0232000	RIB LAKE, VILLAGE OF	5
245	0233000	SLINGER, VILLAGE OF	33
246	0234000	SPRING VALLEY, VILLAGE OF	8
247	0235000	UNION GROVE, VILLAGE OF	19
248	0237000	WAUNAKEE, VILLAGE OF	77
249	0239000	ALBION, TOWN OF (JACKSON)	1
250	0240000	BARKSDALE, TOWN OF (BAYFIELD)	1
251	0241000	CASSIAN, TOWN OF (ONEIDA)	2
252	0245000	FLORENCE, TOWN OF (FLORENCE)	16
253	0250000	MADISON, TOWN OF (DANE)	35
254	0253000	WATERFORD, TOWN OF (RACINE)	16
255	0254000	WILSON, TOWN OF (SHEBOYGAN)	6
256	0257000	BEECHER DUNBAR PEMBINE SCH DIS	37
257	0259000	BONDUEL SCHOOL DISTRICT	114
258	0262000	CAMERON SCHOOL DISTRICT	131
259	0267000	DODGEVILLE SCHOOL DISTRICT	140
260	0268000	EVANSVILLE COMM SCH DIST	220
261	0269000	FLORENCE COUNTY SCH DIST	76
262	0270000	FREDERIC SCHOOL DISTRICT	73
263	0271000	GRANTON AREA SCHOOL DISTRICT	51
264	0274000	HOWARDS GROVE SCHOOL DISTRICT	132
265	0275000	HILLSBORO SCHOOL DISTRICT	81
266	0277000	HURLEY SCHOOL DISTRICT	81

NBR	EIN	EMPLOYER NAME	EMPLOYEES
267	0278000	INDEPENDENCE SCHOOL DISTRICT	52
268	0279000	JOHNSON CREEK SCHOOL DISTRICT	95
269	0282000	KIEL AREA SCHOOL DISTRICT	211
270	0283000	KIMBERLY AREA SCHOOL DISTRICT	532
271	0286000	KOHLER SCHOOL DISTRICT	69
272	0288000	LODI SCHOOL DISTRICT	259
273	0290000	MAUSTON SCHOOL DISTRICT	210
274	0291000	THREE LAKES SCHOOL DISTRICT	92
275	0293000	NEILLSVILLE SCHOOL DISTRICT	136
276	0294000	NEW GLARUS SCHOOL DISTRICT	133
277	0295000	PEWAUKEE SCHOOL DISTRICT	307
278	0298000	RANDOM LAKE SCHOOL DISTRICT	167
279	0299000	ST CROIX FALLS SCHOOL DISTRICT	147
280	0303000	SHELL LAKE SCHOOL DISTRICT	99
281	0304000	RIVER VALLEY SCHOOL DISTRICT	206
282	0305000	STRATFORD SCHOOL DISTRICT	89
283	0306000	TURTLE LAKE SCHOOL DISTRICT	54
284	0314000	CHIPPEWA COUNTY	350
285	0315000	ALMA, CITY OF	8
286	0316000	ALTOONA, CITY OF	40
287	0317000	EAGLE RIVER, CITY OF	28
288	0318000	ELROY, CITY OF	19
289	0319000	LADYSMITH, CITY OF	38
290	0320000	LANCASTER, CITY OF	30
291	0321000	LODI, CITY OF	25
292	0322000	MARION, CITY OF	4
293	0323000	PLATTEVILLE, CITY OF	109
294	0324000	SCHOFIELD, CITY OF	6
295	0325000	WEYAUWEGA, CITY OF	18
296	0327000	CASHTON, VILLAGE OF	11
297	0330000	LA VALLE, VILLAGE OF	4
298	0331000	MOUNT HOREB, VILLAGE OF	57
299	0334000	POYNETTE, VILLAGE OF	15
300	0339000	RICHFIELD, VILLAGE OF(WASHING)	10

NBR	EIN	EMPLOYER NAME	EMPLOYEES
301	0344000	ALTOONA SCHOOL DISTRICT	174
302	0346000	ATHENS SCHOOL DISTRICT	58
303	0347000	BAYFIELD SCHOOL DISTRICT	104
304	0350000	LAONA SCHOOL DISTRICT	35
305	0351000	BRILLION PUBLIC SCHOOL DIST	105
306	0352000	BRODHEAD SCHOOL DISTRICT	135
307	0354000	CEDAR GROVE-BELGIUM SCH DIST	143
308	0355000	CHETEK SCHOOL DISTRICT	0
309	0356000	CLAYTON SCHOOL DISTRICT	64
310	0359000	FALL CREEK SCHOOL DISTRICT	100
311	0362000	GRANTSBURG SCHOOL DISTRICT	131
312	0363000	ST CROIX CENTRAL SCH DIST	176
313	0364000	HIGHLAND SCHOOL DISTRICT	28
314	0365000	HUSTISFORD SCHOOL DISTRICT	64
315	0367000	LADYSMITH-HAWKINS SCH DIST	147
316	0368000	LANCASTER COMM SCH DIST	91
317	0373000	MENOMONEE FALLS SCHOOL DISTRCT	528
318	0375000	MONROE SCHOOL DISTRICT	396
319	0378000	NEW HOLSTEIN SCHOOL DISTRICT	141
320	0379000	NEW RICHMOND SCHOOL DISTRICT	365
321	0383000	PRINCETON SCHOOL DISTRICT	51
322	0386000	SHARON JT SCH DIST # 11 ETAL	30
323	0388000	SPENCER SCHOOL DISTRICT	79
324	0390000	WALWORTH JT SCH DIST # 1 ETAL	48
325	0391000	WEST SALEM SCHOOL DISTRICT	238
326	0392000	WILLIAMS BAY SCHOOL DISTRICT	65
327	0393000	PRAIRIE DU CHIEN, CITY OF	44
328	0395000	BOYD, VILLAGE OF	5
329	0396000	FRIENDSHIP, VILLAGE OF	4
330	0397000	MONONA, CITY OF	75
331	0398000	RANDOLPH, VILLAGE OF	10
332	0399000	SHIOCTON, VILLAGE OF	8
333	0400000	CLIFTON, TOWN OF (MONROE)	1
334	0406000	WIOTA, TOWN OF (LAFAYETTE)	1

NBR	EIN	EMPLOYER NAME	EMPLOYEES
335	0407000	AMERY SCHOOL DISTRICT	244
336	0408000	BALDWIN-WOODVILLE AREA SCH DIS	211
337	0417000	MISHICOT SCHOOL DISTRICT	128
338	0418000	GILLETT SCHOOL DISTRICT	97
339	0421000	MONDOVI SCHOOL DISTRICT	140
340	0422000	OOSTBURG SCHOOL DISTRICT	121
341	0423000	OREGON SCHOOL DISTRICT	553
342	0424000	PHILLIPS SCHOOL DISTRICT	123
343	0425000	PORT EDWARDS SCHOOL DISTICT	58
344	0429000	WESTBY AREA SCHOOL DISTRICT	175
345	0430000	MONTROSE, TOWN OF (DANE)	1
346	0435000	GREEN LAKE SCHOOL DISTRICT	51
347	0438000	SHARON, VILLAGE OF	14
348	0439000	SPRING GREEN, VILLAGE OF	15
349	0440000	SOUTH SHORE SCHOOL DISTRICT	29
350	0441000	RANDOM LAKE, VILLAGE OF	6
351	0442000	SILVER LAKE, VILLAGE OF	13
352	0443000	LAONA, TOWN OF (FOREST)	5
353	0444000	PHELPS, TOWN OF (VILAS)	7
354	0445000	ARBOR VITAE-WOODRUFF JSD #1	61
355	0448000	HILBERT SCHOOL DISTRICT	60
356	0451000	RIB LAKE SCHOOL DISTRICT	43
357	0453000	HAYWARD, CITY OF	20
358	0454000	WAUTOMA, CITY OF	16
359	0457000	MARKESAN, CITY OF	12
360	0458000	MAZOMANIE, VILLAGE OF	5
361	0460000	SHELL LAKE, CITY OF	14
362	0463000	BLUE MOUNDS, TOWN OF (DANE)	2
363	0467000	GREENFIELD, CITY OF	225
364	0469000	MEQUON, CITY OF	122
365	0470000	MISHICOT, TOWN OF(MANITOWOC)	1
366	0472000	PRIMROSE, TOWN OF (DANE)	1
367	0476000	STRONGS PRAIRIE, TOWN OF(ADMS)	2
368	0477000	Unity, Town of (Clark County)	1

NBR	EIN	EMPLOYER NAME	EMPLOYEES
369	0478000	ARCADIA SCHOOL DISTRICT	156
370	0480000	DRUMMOND SCHOOL DISTRICT	62
371	0490000	ELKHART LAKE-GLENBEULAH SCH DS	66
372	0491000	ELLSWORTH COMM SCH DIST	236
373	0493000	HOLMEN SCHOOL DISTRICT	654
374	0494000	IOLA-SCANDINAVIA SCHOOL DIST	89
375	0496000	MARATHON CITY SCHOOL DISTRICT	72
376	0504000	PALMYRA-EAGLE AREA SCHOOL DIST	168
377	0508000	SPRING VALLEY SCHOOL DISTRICT	121
378	0511000	AMERY, CITY OF	29
379	0512000	GLENWOOD, CITY OF	2
380	0513000	INDEPENDENCE, CITY OF	12
381	0514000	VIROQUA, CITY OF	41
382	0515000	ALBANY, VILLAGE OF	10
383	0516000	AVOCA, VILLAGE OF	4
388	0517000	BALDWIN, VILLAGE OF	29
387	0518000	BALSAM LAKE, VILLAGE OF	8
386	0519000	COMBINED LOCKS, VILLAGE OF	10
387	0520000	LA FARGE, VILLAGE OF	9
388	0524000	RIO, VILLAGE OF	8
389	0525000	WATERLOO, CITY OF	32
390	0526000	BELMONT, TOWN OF (LAFAYETTE)	1
391	0528000	DARIEN, TOWN OF (WALWORTH)	1
392	0529000	DRUMMOND, TOWN OF (BAYFIELD)	4
393	0538000	WOODRUFF, TOWN OF (ONEIDA)	11
394	0547000	CLINTONVILLE PUBLIC SCH DIST	204
395	0550000	LAC DU FLAMBEAU SCH DIST #1	108
396	0554000	MARKESAN SCHOOL DISTRICT	124
397	0558000	NORTH FOND DU LAC SCH DIST	146
398	0564000	VIROQUA AREA SCHOOL DISTRICT	182
399	0566000	WONEWOC & UNION CENTER SCH DIS	50
400	0567000	ELLSWORTH, VILLAGE OF	21
401	0569000	HUSTISFORD, VILLAGE OF	14
402	0571000	MARATHON CITY, VILLAGE OF	9

NBR	EIN	EMPLOYER NAME	EMPLOYEES
403	0572000	MILLTOWN, VILLAGE OF	9
404	0573000	MUKWONAGO, VILLAGE OF	69
405	0574000	OOSTBURG, VILLAGE OF	11
406	0575000	OREGON, VILLAGE OF	62
407	0576000	PEWAUKEE, VILLAGE OF	53
408	0577000	PULASKI, VILLAGE OF	20
409	0580000	COLBY, TOWN OF (CLARK)	1
410	0582000	GENEVA, TOWN OF (WALWORTH)	15
411	0586000	OREGON, TOWN OF (DANE)	4
412	0587000	RIVER FALLS, TOWN OF (PIERCE)	4
413	0592000	ELCHO SCHOOL DISTRICT	69
414	0595000	CLEAR LAKE SCHOOL DISTRICT	97
415	0596000	DARLINGTON COMM SCHOOL DIST	100
416	0610000	THORP SCHOOL DISTRICT	82
417	0613000	MENOMONIE CITY HOUSING AUTH	4
418	0614000	BRILLION, CITY OF	27
419	0615000	CRANDON, CITY OF	19
420	0616000	ONALASKA, CITY OF	96
421	0617000	BROOKLYN, VILLAGE OF	7
422	0619000	HORTONVILLE, VILLAGE OF	21
423	0620000	MENOMONEE FALLS, VILLAGE OF	221
424	0622000	ASHIPPUN, TOWN OF (DODGE CO)	4
425	0624000	CALEDONIA, VILLAGE OF (RACINE)	125
426	0625000	CEDARBURG, TOWN OF (OZAUKEE)	11
427	0629000	LAFAYETTE, TOWN OF (WALWORTH)	2
428	0630000	LYONS, TOWN OF (WALWORTH)	3
429	0631000	SALEM, TOWN OF (KENOSHA)	26
430	0634000	AUGUSTA SCHOOL DISTRICT	108
431	0636000	CASHTON SCHOOL DISTRICT	95
432	0639000	ELMWOOD SCHOOL DISTRICT	51
433	0641000	LENA PUBLIC SCHOOL DISTRICT	50
434	0646000	OSCEOLA SCHOOL DISTRICT	246
435	0647000	PEPIN AREA SCHOOL DISTRICT	40
436	0648000	SHAWANO SCHOOL DIST	330

NBR	EIN	EMPLOYER NAME	EMPLOYEES
437	0650000	WATERFORD UNION HIGH SCH DIST	130
438	0652000	CROSS PLAINS, TOWN OF (DANE)	2
439	0655000	CADOTT COMM SCHOOL DISTRICT	113
440	0657000	EDGAR SCHOOL DISTRICT	74
441	0659000	WINNECONNE COMM SCHOOL DIST	200
442	0660000	AUGUSTA, CITY OF	20
443	0661000	COLBY, CITY OF	10
444	0662000	HOLMEN, VILLAGE OF	31
445	0664000	WONEWOC, VILLAGE OF	9
446	0670000	GENOA CITY JT SCH DIST #2 ETAL	70
447	0672000	LOYAL SCHOOL DISTRICT	70
448	0675000	WILMOT UNION HIGH SCHOOL DIST	128
449	0676000	CRIVITZ SCHOOL DISTRICT	71
450	0677000	ARCADIA, CITY OF	9
451	0678000	DEERFIELD, VILLAGE OF	12
452	0680000	WOODVILLE, VILLAGE OF	10
453	0685000	OMA, TOWN OF (IRON)	2
454	0689000	WINTER SCHOOL DISTRICT	48
455	0690000	EAST TROY COMMUNITY SCH DIST	219
456	0695000	MARION SCHOOL DISTRICT	43
457	0698000	RIO COMMUNITY SCHOOL DISTRICT	59
458	0700000	SIREN SCHOOL DISTRICT	71
459	0703000	GREENWOOD, CITY OF	11
460	0704000	PRESCOTT, CITY OF	33
461	0705000	GRAFTON, VILLAGE OF	85
462	0706000	HIGHLAND, VILLAGE OF	5
463	0707000	NORTH FREEDOM, VILLAGE OF	3
464	0708000	CRESCENT, TOWN OF (ONEIDA)	4
465	0709000	EAU GALLE, TOWN OF (DUNN)	1
466	0714000	SPRING LAKE, TOWN OF (PIERCE)	1
467	0715000	SPRINGDALE, TOWN OF (DANE)	2
468	0716000	SPRINGFIELD, TOWN OF (JACKSON)	1
469	0717000	ALMA CENTER-HUMBRD-MERIL SCH D	98
470	0720000	BUTTERNUT SCHOOL DISTRICT	34

NBR	EIN	EMPLOYER NAME	EMPLOYEES
471	0726000	ROSHOLT SCHOOL DISTRICT	79
472	0728000	TOMAH AREA SCHOOL DISTRICT	476
473	0729000	WATERFORD VIL JT SCH DIST #1	134
474	0731000	SHULLSBURG, CITY OF	9
475	0732000	COLEMAN, VILLAGE OF	7
476	0733000	FAIRWATER, VILLAGE OF	2
477	0734000	GRANTSBURG, VILLAGE OF	13
478	0736000	ANSON, TOWN OF (CHIPPEWA)	2
479	0737000	DUNKIRK, TOWN OF (DANE)	3
480	0746000	WATERLOO SCHOOL DISTRICT	120
481	0753000	PITTSVILLE SCHOOL DISTRICT	80
482	0754000	WALWORTH, VILLAGE OF	19
483	0755000	TOMORROW RIVER SCHOOL DISTRICT	130
484	0758000	WEBSTER SCHOOL DISTRICT	107
485	0759000	BELGIUM, VILLAGE OF	8
486	0760000	CADOTT, VILLAGE OF	16
487	0761000	GLENDALE, CITY OF	67
488	0762000	FONTANA ON GNVA LK, VILLAGE OF	26
489	0763000	HIXTON, VILLAGE OF	1
490	0764000	STRATFORD, VILLAGE OF	11
491	0767000	PLEASANT PRAIRIE,VILLAGE OF	258
492	0769000	PLUM CITY SCHOOL DISTRICT	24
493	0771000	NEW LISBON SCHOOL DISTRICT	88
494	0772000	CRANDON SCHOOL DISTRICT	121
495	0778000	THREE LAKES, TOWN OF (ONEIDA)	19
496	0779000	ALMOND-BANCROFT SCHOOL DIST	76
497	0780000	LAKE HOLCOMBE SCHOOL DISTRICT	61
498	0781000	WAUSAUKEE, VILLAGE OF	6
499	0796000	WAYNE, TOWN OF (LAFAYETTE)	2
500	0797000	ST FRANCIS, CITY OF	81
501	0798000	TRADE LAKE, TOWN OF (BURNETT)	2
502	0802000	CHETEK, TOWN OF (BARRON)	2
503	0805000	BLACK CREEK, VILLAGE OF	10
504	0806000	SIREN, VILLAGE OF	9

NBR	EIN	EMPLOYER NAME	EMPLOYEES
505	0807000	ALBION, TOWN OF (DANE)	3
506	0809000	LAFARGE SCHOOL DISTRICT	54
507	0810000	WILD ROSE SCHOOL DISTRICT	97
508	0811000	GRANTON, VILLAGE OF	3
509	0812000	BLACK EARTH, VILLAGE OF	8
510	0814000	EASTON, TOWN OF (MARATHON)	2
511	0815000	FULTON, TOWN OF (ROCK)	1
512	0816000	HAYWARD, TOWN OF (SAWYER)	2
513	0817000	LA VALLE, TOWN OF (SAUK)	4
514	0818000	COLEMAN SCHOOL DISTRICT	109
515	0819000	NEW AUBURN SCHOOL DISTRICT	58
516	0820000	SOMERSET SCHOOL DISTRICT	195
517	0825000	FOX LAKE, CITY OF	13
518	0826000	SPENCER, VILLAGE OF	13
519	0832000	MAYVILLE SCHOOL DISTRICT	177
520	0835000	PLATTEVILLE SCHOOL DISTRICT	186
521	0836000	WAUTOMA AREA SCHOOL DISTRICT	249
522	0837000	RAYMOND, TOWN OF (RACINE)	6
523	0839000	GRAND CHUTE, TOWN OF(OUTAGAME)	119
524	0840000	LA POINTE, TOWN OF (ASHLAND)	24
525	0841000	NEW HAVEN, TOWN OF (DUNN)	1
526	0843000	WESTOSHA CENTRAL HIGH SCH DIST	129
527	0844000	SHULLSBURG SCHOOL DISTRICT	49
528	0849000	THIENSVILLE, VILLAGE OF	18
529	0851000	WESCOTT, TOWN OF (SHAWANO)	7
530	0853000	DENMARK SCHOOL DISTRICT	175
531	0854000	PRESCOTT SCHOOL DISTRICT	186
532	0859000	SALEM SCHOOL DISTRICT	124
533	0862000	FALL RIVER SCHOOL DISTRICT	38
534	0863000	GRAFTON SCHOOL DISTRICT	268
535	0864000	PRAIRIE FARM PUBLIC SCH DIST	56
536	0865000	PULASKI COMMUNITY SCHOOL DIST	542
537	0868000	PRENTICE SCHOOL DISTRICT	70
538	0869000	MONTICELLO SCHOOL DISTRICT	52

NBR	EIN	EMPLOYER NAME	EMPLOYEES
539	0870000	LINN, TOWN OF (WALWORTH)	11
540	0871000	MARSHALL, VILLAGE OF	25
541	0873000	GALESVILLE SCHOOL DISTRCT ETAL	220
542	0874000	SOLON SPRINGS SCHOOL DISTRICT	57
543	0877000	MAPLE GROVE, TOWN OF (BARRON)	0
544	0878000	GENOA CITY, VILLAGE OF	19
545	0880000	NEW GLARUS, TOWN OF (GREEN)	5
546	0888000	BALSAM LAKE, TOWN OF (POLK)	1
547	0891000	WASHINGTON SCHOOL DISTRICT	17
548	0894000	GENEVA JT SCH DIST #4 ETAL	24
549	0895000	BURKE, TOWN OF (DANE)	4
550	0898000	BEAR CREEK, TOWN OF (SAUK)	2
551	0900000	MELLEN, CITY OF	9
552	0902000	LAND O LAKES, TOWN OF (VILAS)	9
553	0905000	EAGLE POINT, TOWN OF(CHIPPEWA)	3
554	0916000	STOCKBRIDGE SCH DIST	33
555	0920000	TIGERTON SCHOOL DISTRICT	24
556	0922000	BARRON COUNTY	275
557	0923000	BROWN COUNTY	1507
558	0924000	CALUMET COUNTY	256
559	0925000	CRAWFORD COUNTY	140
560	0926000	DANE COUNTY	2368
561	0927000	DODGE COUNTY	849
562	0928000	DOUGLAS COUNTY	280
563	0929000	DUNN COUNTY	461
564	0930000	EAU CLAIRE COUNTY	503
565	0931000	FOND DU LAC COUNTY	812
566	0932000	FOREST COUNTY	123
567	0933000	GREEN COUNTY	409
568	0934000	JACKSON COUNTY	178
569	0935000	JEFFERSON COUNTY	483
570	0936000	KENOSHA COUNTY	1022
571	0937000	KEWAUNEE COUNTY	173
572	0938000	LA CROSSE COUNTY	1206

NBR	EIN	EMPLOYER NAME	EMPLOYEES
573	0939000	LAFAYETTE COUNTY	303
574	0940000	LANGLADE COUNTY	164
575	0941000	LINCOLN COUNTY	392
576	0942000	MANITOWOC COUNTY	423
577	0943000	MARATHON COUNTY	843
578	0944000	MARINETTE COUNTY	340
579	0945000	ONEIDA COUNTY	286
580	0946000	OZAUKEE COUNTY	578
581	0947000	RACINE COUNTY	785
582	0948000	ROCK COUNTY	1175
583	0949000	RUSK COUNTY	381
584	0950000	ST CROIX COUNTY	573
585	0951000	SHEBOYGAN COUNTY	767
586	0952000	TAYLOR COUNTY	166
587	0953000	TREMPEALEAU COUNTY	500
588	0954000	VILAS COUNTY	198
589	0955000	WASHINGTON COUNTY	756
590	0956000	WAUKESHA COUNTY	1474
591	0957000	WINNEBAGO COUNTY	1039
592	0958000	WOOD COUNTY	605
593	0959000	ALGOMA, CITY OF	114
594	0960000	ANTIGO, CITY OF	90
595	0961000	APPLETON, CITY OF	657
596	0962000	ASHLAND, CITY OF	104
597	0963000	BARABOO, CITY OF	111
598	0964000	BARRON, CITY OF	34
599	0965000	BEAVER DAM, CITY OF	118
600	0966000	BELOIT, CITY OF	382
601	0967000	BERLIN, CITY OF	48
602	0968000	BLACK RIVER FALLS, CITY OF	55
603	0969000	BOSCOBEL, CITY OF	28
604	0970000	BURLINGTON, CITY OF	86
605	0971000	CEDARBURG, CITY OF	98
606	0972000	CUDAHY, CITY OF	151

NBR	EIN	EMPLOYER NAME	EMPLOYEES
607	0973000	CUMBERLAND, CITY OF	27
608	0974000	DE PERE, CITY OF	138
609	0975000	EAU CLAIRE, CITY OF	575
610	0976000	EDGERTON, CITY OF	34
611	0977000	ELKHORN, CITY OF	70
612	0978000	EVANSVILLE, CITY OF	45
613	0979000	FOND DU LAC, CITY OF	342
614	0980000	FORT ATKINSON, CITY OF	89
615	0981000	GREEN BAY, CITY OF	948
616	0982000	HARTFORD, CITY OF	138
617	0983000	HORICON, CITY OF	26
618	0984000	HUDSON, CITY OF	83
619	0985000	JANESVILLE, CITY OF	497
620	0986000	JUNEAU, CITY OF	22
621	0987000	KAUKAUNA, CITY OF	169
622	0988000	KENOSHA, CITY OF	900
623	0989000	LA CROSSE, CITY OF	602
624	0990000	LAKE GENEVA, CITY OF	112
625	0991000	MADISON, CITY OF	2915
626	0992000	MANITOWOC, CITY OF	360
627	0993000	MARINETTE, CITY OF	102
628	0994000	MARSHFIELD, CITY OF	208
629	0995000	MENASHA, CITY OF	197
630	0996000	MENOMONIE, CITY OF	129
631	0997000	MERRILL, CITY OF	126
632	0998000	MONROE, CITY OF	99
633	0999000	MOSINEE, CITY OF	20
634	1000000	NEENAH, CITY OF	271
635	1001000	NEKOOSA, CITY OF	32
636	1002000	NEW HOLSTEIN, CITY OF	32
637	1003000	NEW LONDON, CITY OF	86
638	1004000	NEW RICHMOND, CITY OF	79
639	1005000	OCONTO FALLS, CITY OF	28
640	1006000	OSHKOSH, CITY OF	569

NBR	EIN	EMPLOYER NAME	EMPLOYEES
641	1007000	PLYMOUTH, CITY OF	71
642	1008000	PORTAGE, CITY OF	76
643	1009000	PORT WASHINGTON, CITY OF	122
644	1010000	RACINE, CITY OF	848
645	1011000	RHINELANDER, CITY OF	106
646	1012000	RICE LAKE, CITY OF	105
647	1013000	RICHLAND CENTER, CITY OF	55
648	1014000	RIPON, CITY OF	63
649	1015000	RIVER FALLS, CITY OF	86
650	1016000	SHAWANO, CITY OF	70
651	1017000	SHEBOYGAN, CITY OF	481
652	1018000	SHEBOYGAN FALLS, CITY OF	43
653	1019000	SOUTH MILWAUKEE, CITY OF	149
654	1020000	SPARTA, CITY OF	59
655	1021000	STEVENS POINT, CITY OF	249
656	1022000	STOUGHTON, CITY OF	105
657	1023000	SUPERIOR, CITY OF	259
658	1024000	TWO RIVERS, CITY OF	135
659	1025000	WATERTOWN, CITY OF	188
660	1026000	WAUKESHA, CITY OF	568
661	1027000	WAUPUN, CITY OF	68
662	1028000	WAUSAU, CITY OF	316
663	1029000	WAUWATOSA, CITY OF	445
664	1030000	WEST ALLIS, CITY OF	584
665	1031000	WEST BEND, CITY OF	258
666	1032000	WESTBY, CITY OF	19
667	1033000	WHITEHALL, CITY OF	17
668	1034000	WISCONSIN DELLS, CITY OF	54
669	1035000	WISCONSIN RAPIDS, CITY OF	228
670	1036000	FOX POINT, VILLAGE OF	62
671	1037000	GREENDALE, VILLAGE OF	106
672	1038000	KEWASKUM, VILLAGE OF	25
673	1039000	KOHLER, VILLAGE OF	18
674	1040000	MAPLE BLUFF, VILLAGE OF	22

NBR	EIN	EMPLOYER NAME	EMPLOYEES
675	1041000	MIDDLETON, CITY OF	163
676	1042000	NIAGARA, CITY OF	14
677	1043000	PORT EDWARDS, VILLAGE OF	15
678	1044000	RIVER HILLS, VILLAGE OF	24
679	1045000	ROTHSCHILD, VILLAGE OF	29
680	1046000	SAUK CITY, VILLAGE OF	22
681	1047000	SHOREWOOD, VILLAGE OF	84
682	1048000	SHOREWOOD HILLS, VILLAGE OF	30
683	1049000	WEST MILWAUKEE, VILLAGE OF	41
684	1050000	WHITEFISH BAY, VILLAGE OF	72
685	1052000	BLACK RIVER FALLS SCH DIST	274
686	1054000	CUMBERLAND SCHOOL DISTRICT	116
687	1055000	WEST DEPERE SCHOOL DISTRICT	338
688	1056000	EDGERTON SCHOOL DISTRICT	233
689	1057000	FORT ATKINSON SCHOOL DISTRICT	389
690	1058000	FOX POINT JT SCH DIST # 2 ETAL	123
691	1059000	GREENDALE SCHOOL DISTRICT	318
692	1063000	HARTFORD UNION HIGH SCH DIST	185
693	1064000	HORICON SCHOOL DISTRICT	110
694	1065000	HUDSON SCHOOL DISTRICT	745
695	1066000	LAKE GENEVA JT SCH DIS #1 ETAL	231
696	1067000	NEKOOSA SCHOOL DISTRICT	164
697	1068000	NIAGARA SCHOOL DISTRICT	63
698	1069000	RIVER FALLS SCHOOL DISTRICT	410
699	1070000	D C EVEREST AREA SCHOOL DIST	726
700	1071000	SHOREWOOD SCHOOL DISTRICT	303
701	1073000	ST FRANCIS SCHOOL DISTRICT #6	143
702	1074000	STOUGHTON AREA SCHOOL DISTRICT	449
703	1075000	WAUPUN AREA SCHOOL DISTRICT	240
704	1077000	WEST BEND JT SCH DIST #1	881
705	1080000	WHITEFISH BAY SCHOOL DISTRICT	359
706	1081000	GREEN BAY METRO SEWERAGE DIST	88
707	1082000	MADISON METRO SEWERAGE DIST	90
708	1083000	NEENAH - MENASHA SEWERAGE COMM	0

NBR	EIN	EMPLOYER NAME	EMPLOYEES
709	1091000	WABENO, TOWN OF (FOREST)	5
710	1092000	ARGYLE SCHOOL DISTRICT	43
711	1093000	LOMIRA SCHOOL DISTRICT	149
712	1095000	SURING PUBLIC SCHOOL DISTRICT	50
713	1099000	HAYWARD COMMUNITY SCHOOL DIST	250
714	1101000	UNION GROVE JT SCH DIS #1 ETAL	82
715	1102000	SPRINGFIELD, TOWN OF (DANE)	3
716	1104000	OSSEO, CITY OF	15
717	1106000	SOLDIERS GROVE, VILLAGE OF	5
718	1113000	ALBANY SCHOOL DISTRICT	69
719	1121000	OWEN, CITY OF	12
720	1123000	OMRO SCHOOL DISTRICT	164
721	1128000	MANAWA, CITY OF	13
722	1129000	SAUKVILLE, VILLAGE OF	35
723	1134000	SHEBOYGAN, TOWN OF (SHEBOYGAN)	6
724	1135000	CUBA CITY, CITY OF	19
725	1138000	WAUZEKA JT SCH DIST ETAL	53
726	1139000	TREMPEALEAU, VILLAGE OF	12
727	1140000	UNION GROVE UNION HIGH SCH DIS	77
728	1142000	HILBERT, VILLAGE OF	4
729	1143000	WESTFORD, TOWN OF (RICHLAND)	0
730	1145000	WAUZEKA, VILLAGE OF	3
731	1146000	BOSCOBEL SCHOOL DISTRICT	130
732	1147000	GERMANTOWN, VILLAGE OF	141
733	1149000	PLAIN, VILLAGE OF	8
734	1151000	FLAMBEAU SCHOOL DISTRICT	97
735	1154000	LA CROSSE CITY HOUSING AUTH	25
736	1155000	PRAIRIE DU SAC JT SEWER COMM	1
737	1158000	WILTON, TOWN OF (MONROE)	1
738	1161000	MAPLE SCHOOL DISTRICT	203
739	1162000	LISBON, TOWN OF (WAUKESHA)	19
740	1176000	WITHEE, VILLAGE OF	4
741	1178000	CASCADE, VILLAGE OF	3
742	1183000	SEVASTOPOL SCHOOL DISTRICT	75

NBR	EIN	EMPLOYER NAME	EMPLOYEES
743	1187000	MONDOVI, CITY OF	18
744	1188000	BUTLER, VILLAGE OF	17
745	1192000	GRATIOT, TOWN OF (LAFAYETTE)	3
746	1194000	MUSKEGO, CITY OF	116
747	1197000	GILMAN SCHOOL DISTRICT	52
748	1204000	MONTELLO, CITY OF	10
749	1205000	IOLA, VILLAGE OF	10
750	1206000	ALBAN, TOWN OF (PORTAGE)	2
751	1207000	LEDGEVIEW, TOWN OF (BROWN)	8
752	1208000	JACKSON, TOWN OF (WASHINGTON)	5
753	1221000	WISCONSIN COUNTIES ASSOCIATION	21
754	1222000	BLAIR, CITY OF	11
755	1236000	TROY, TOWN OF (WALWORTH)	3
756	1237000	SUN PRAIRIE AREA SCH DIS	1054
757	1238000	BAYFIELD, CITY OF	16
758	1239000	BUFFALO CITY, CITY OF	3
759	1240000	PITTSVILLE, CITY OF	4
760	1241000	BROOKFIELD, TOWN OF (WAUKESHA)	71
761	1244000	MILLTOWN, TOWN OF (POLK)	2
762	1250001	MILWAUKEE TEACHERS RETIREM SYS	5789
763	1252000	MCFARLAND, VILLAGE OF	64
764	1253000	SISTER BAY, VILLAGE OF	9
765	1255000	MERCER, TOWN OF (IRON)	9
766	1259000	WHITEHALL SCHOOL DISTRICT	102
767	1261000	EAGLE, VILLAGE OF	20
768	1262000	DARIEN, VILLAGE OF	18
769	1264000	BLANCHARDVILLE, VILLAGE OF	4
770	1265000	STRUM, VILLAGE OF	10
771	1269000	FRANKLIN, CITY OF	99
772	1273000	CLINTON COMMUNITY SCHOOL DIST	168
773	1275000	KIMBALL, TOWN OF (IRON)	2
774	1276000	DEFOREST, VILLAGE OF	54
775	1277000	ASHWAUBENON, VILLAGE OF	109
776	1279000	GREEN LAKE, TOWN OF (GRN LAKE)	1

NBR	EIN	EMPLOYER NAME	EMPLOYEES
777	1281000	MIDDLETON, TOWN OF (DANE)	9
778	1286000	LOMIRA, VILLAGE OF	17
779	1295000	TURTLE LAKE, VILLAGE OF	14
780	1302000	SUMMIT, VILLAGE OF (WAUKESHA)	17
781	1306000	DENMARK, VILLAGE OF	9
782	1316000	HARTFORD JT SCH DIST #1 ETAL	234
783	1325000	COLUMBUS SCHOOL DISTRICT	152
784	1332000	BRIGHAM, TOWN OF (IOWA)	3
785	1333000	BURLINGTON, TOWN OF (RACINE)	11
786	1335000	WASHINGTON, TOWN OF(EAUCLAIRE)	7
787	1344000	MINOCQUA JT SCH DIST #1 M-H-LT	77
788	1348000	CAMBRIDGE SCHOOL DISTRICT	156
789	1350000	WESTFIELD, VILLAGE OF	10
790	1355000	FRANKLIN, TOWN OF (MANITOWOC)	3
791	1365000	NORWAY, TOWN OF (RACINE)	15
792	1372000	GAYS MILLS, VILLAGE OF	6
793	1380000	NEWBOLD, TOWN OF (ONEIDA)	8
794	1381000	TIFFANY, TOWN OF (DUNN)	1
795	1382000	WALWORTH, TOWN OF (WALWORTH)	2
796	1383000	WINDSOR, TOWN OF (DANE)	18
797	1387000	WAUSAUKEE SCHOOL DISTRICT	52
798	1394000	HAY RIVER, TOWN OF (DUNN)	1
799	1401000	MAPLE DALE-INDIAN HILL SCH DIS	47
800	1402000	BAYSIDE, VILLAGE OF	43
801	1403000	GREEN LAKE, CITY OF	14
802	1404000	TWIN LAKES, VILLAGE OF	56
803	1406000	BOULDER JUNCTION, TOWN (VILAS)	6
804	1410000	ELM GROVE, VILLAGE OF	50
805	1412000	BROOKFIELD, CITY OF	357
806	1413000	BENTON, VILLAGE OF	6
807	1414000	SOLON SPRINGS, VILLAGE OF	4
808	1419000	LAFAYETTE, TOWN OF (CHIPPEWA)	6
809	1422000	WASHINGTON, TOWN OF (DOOR)	18
810	1423000	WASHINGTON, TOWN OF (VILAS)	5

NBR	EIN	EMPLOYER NAME	EMPLOYEES
811	1427000	BRUCE, VILLAGE OF	5
812	1428000	VIENNA, TOWN OF (DANE)	5
813	1429000	FARMINGTON, TOWN OF (LACROSSE)	2
814	1433000	BLUE RIVER, VILLAGE OF	3
815	1435000	PEPIN, VILLAGE OF	7
816	1441000	JEFFERSON, TOWN OF (JEFFERSON)	1
817	1443000	NEW BERLIN, CITY OF	255
818	1444000	PARKLAND, TOWN OF (DOUGLAS)	2
819	1445000	PLEASANT VALLEY, TOWN(EAUCLR)	2
820	1448000	BIRCHWOOD SCHOOL DISTRICT	46
821	1458000	BARRON AREA SCHOOL DISTRICT	200
822	1460000	HAMMOND, VILLAGE OF	11
823	1468000	LAKETOWN, TOWN OF (POLK)	1
824	1469000	RICE LAKE, TOWN OF (BARRON)	3
825	1472000	OWEN-WITHEE SCHOOL DISTRICT	74
826	1476000	SUPERIOR, TOWN OF (DOUGLAS)	2
827	1477000	TREMPEALEAU, TOWN (TREMPELEAU)	3
828	1483000	LAKE DELTON, VILLAGE OF	40
829	1491000	BENTON SCHOOL DISTRICT	38
830	1499000	VALDERS AREA SCHOOL DISTRICT	137
831	1504000	CAMBRIDGE, VILLAGE OF	10
832	1508000	BLOOMFIELD, TOWN OF (WALWORTH)	13
833	1511000	SOMERS, TOWN OF (KENOSHA)	39
834	1513000	STONE BANK SCHOOL DISTRICT	49
835	1514000	NORTHWOOD SCHOOL DISTRICT	57
836	1517000	SLINGER SCHOOL DISTRICT	324
837	1521000	REEDSVILLE SCHOOL DISTRICT	92
838	1522000	PARKVIEW SCHOOL DISTRICT	157
839	1525000	KRONENWETTER, VILLAGE OF	23
840	1527000	HALLIE, TOWN OF (CHIPPEWA)	0
841	1528000	HIGHLAND, TOWN OF (IOWA)	2
842	1529000	LAKE HOLCOMBE, TOWN (CHIPPEWA)	3
843	1533000	WESTPORT, TOWN OF (DANE)	7
844	1534000	WHEATON, TOWN OF (CHIPPEWA)	4

NBR	EIN	EMPLOYER NAME	EMPLOYEES
845	1540000	SUSSEX, VILLAGE OF	66
846	1543000	MINONG, TOWN OF (WASHBURN)	5
847	1544000	PRAIRIE LAKE, TOWN OF (BARRON)	1
848	1545000	SHELBY, TOWN OF (LA CROSSE)	12
849	1549000	NICOLET HIGH SCHOOL DISTRICT	168
850	1554000	HALES CORNERS, VILLAGE OF	52
851	1555000	COCHRANE, VILLAGE OF	3
852	1560000	CASSVILLE SCHOOL DISTRICT	42
853	1563000	SUMMIT, TOWN OF (JUNEAU)	1
854	1565000	IRON RIDGE, VILLAGE OF	7
855	1566000	NECEDAH, VILLAGE OF	9
856	1567000	MERTON, TOWN OF (WAUKESHA)	13
857	1573000	ARROWHEAD UNION HIGH SCH DIST	238
858	1578000	MARION, TOWN OF (WAUSHARA)	1
859	1579000	MARTELL, TOWN OF (PIERCE)	1
860	1583000	NORTH LAKE SCHOOL DISTRICT	35
861	1585000	WABENO AREA SCHOOL DISTRICT	76
862	1590000	EAGLE, TOWN OF (WAUKESHA)	11
863	1591000	FARMINGTON, TOWN OF (WAUPACA)	1
864	1601000	SUMNER, TOWN OF (BARRON)	1
865	1608000	FITCHBURG, CITY OF	205
866	1612000	DANE, VILLAGE OF	4
867	1617000	QUINCY, TOWN OF (ADAMS)	3
868	1625000	COTTAGE GROVE, VILLAGE OF	30
869	1626000	LINCOLN, TOWN OF (VILAS)	1
870	1630000	BROCKWAY, TOWN OF (JACKSON)	6
871	1632000	YORKVILLE, TOWN OF (RACINE)	2
872	1633000	MISHICOT, VILLAGE OF	11
873	1634000	ELKHORN AREA SCHOOL DISTRICT	380
874	1635000	SURING, VILLAGE OF	6
875	1645000	ASHWAUBENON SCHOOL DISTRICT	346
876	1648000	POTOSI SCHOOL DISTRICT	60
877	1652000	SUPERIOR CITY HOUSING AUTH	23
878	1663000	COCHRANE-FOUNTAIN CITY SCH DIS	80

NBR	EIN	EMPLOYER NAME	EMPLOYEES
879	1667000	TURTLE LAKE, TOWN OF (BARRON)	1
880	1671000	PARIS JT SCH DIST #1 ETAL	14
881	1673000	ARLINGTON, VILLAGE OF	4
882	1678000	SULLIVAN, TOWN OF (JEFFERSON)	2
883	1679000	RIPON AREA SCHOOL DISTRICT	242
884	1682000	CUBA CITY SCHOOL DISTRICT	88
885	1686000	Wheatland, Town of (Vernon County)	2
886	1696000	WEYERHAEUSER AREA SCHOOL DIST	0
887	1699000	LINN JT SCH DIST #6 ETAL	24
888	1707000	ROCK SPRINGS, VILLAGE OF	2
889	1709000	UNITY SCHOOL DISTRICT	138
890	1711000	KOMENSKY, TOWN OF (JACKSON)	2
891	1712000	GRAND RAPIDS, TOWN OF (WOOD)	14
892	1723000	BROWNTOWN, VILLAGE OF	2
893	1725000	RIB MOUNTAIN, TOWN (MARATHON)	18
894	1726000	COLFAX SCHOOL DISTRICT	101
895	1727000	MONTELLO SCHOOL DISTRICT	106
896	1728000	SPARTA AREA SCHOOL DISTRICT	387
897	1735000	WESTON, TOWN OF (MARATHON)	1
898	1736000	PELICAN, TOWN OF (ONEIDA)	2
899	1740000	CHILTON SCHOOL DISTRICT	151
900	1741000	WESTFIELD SCHOOL DISTRICT	104
901	1742000	GREENWOOD SCHOOL DISTRICT	58
902	1746000	FENNIMORE COMMUNITY SCH DIST	125
903	1749000	CROSS PLAINS, VILLAGE OF	22
904	1752000	NORWAY-RAYMOND JT#7 SD	11
905	1754000	FREMONT, VILLAGE OF	6
906	1758000	FREEDOM, TOWN OF (OUTAGAMIE)	7
907	1761000	FRANKLIN PUBLIC SCHOOL DIST	591
908	1762000	LAKE GENEVA SCHOOL DISTRICT	190
909	1765000	RUTLAND, TOWN OF (DANE)	4
910	2088000	HERMAN SCH DIST #22	12
911	2099000	RUBICON JT SCH DIST #6 ETAL	12
912	2110000	NEOSHO JT SCH DIST #3 ETAL	32

NBR	EIN	EMPLOYER NAME	EMPLOYEES
913	2274000	OAKFIELD SCHOOL DISTRICT	86
914	2441000	IOWA-GRANT SCHOOL DISTRICT	110
915	2489000	TWIN LAKES SCH DIST #4	48
916	2491000	SILVER LAKE JT SCH DIS #1 ETAL	43
917	2818000	LAKELAND UNION HIGH SCH DIST	136
918	2977000	KANSASVILLE DOVER DIST #1	13
919	3391000	LINN JT SCH DIST #4 ETAL	22
920	3413000	BIG FOOT UHS SCH DIST	55
921	3419000	ERIN SCH DIST #2	23
922	3467000	RICHMOND SCHOOL DISTRICT	38
923	3469000	NORRIS SCHOOL DISTRICT	16
924	3470000	SWALLOW SCHOOL DISTRICT	51
925	3611000	BRUCE SCHOOL DISTRICT	73
926	3631000	PINE LAKE, TOWN OF (ONEIDA)	3
927	3632000	VERONA, TOWN OF (DANE)	7
928	3642000	MEQUON - THIENSVILLE LIBRARY	15
929	3644000	ATHELSTANE, TOWN OF(MARINETTE)	3
930	3649000	OAKDALE, TOWN OF (MONROE)	2
931	3659000	BROWN DEER, VILLAGE OF	75
932	3660000	ARBOR VITAE, TOWN OF (VILAS)	5
933	3671000	ROYALL SCHOOL DISTRICT	92
934	3677000	BENNETT, TOWN OF (DOUGLAS)	2
935	3679000	SPARTA, TOWN OF (MONROE)	1
936	3682000	BERLIN AREA SCHOOL DISTRICT	229
937	3685000	DAIRYLAND, TOWN OF (DOUGLAS)	1
938	3695000	GLENWOOD CITY SCHOOL DISTRICT	91
939	3696000	MENOMONIE AREA SCHOOL DISTRICT	410
940	3697000	OCONTO FALLS PUBLIC SCH DIST	253
941	3702000	CAREY, TOWN OF (IRON)	1
942	3703000	ROSHOLT, VILLAGE OF	2
943	3706000	COLOMA, VILLAGE OF	8
944	3709000	BOYCEVILLE COMMUNITY SCH DIST	106
945	3790000	GREENFIELD SCHOOL DISTRICT	414
946	3862000	RANDALL JT SCH DIST #1 ETAL	83

NBR	EIN	EMPLOYER NAME	EMPLOYEES
947	3911000	VERNON, TOWN OF (WAUKESHA)	15
948	3921000	FLAMBEAU, TOWN OF (RUSK)	1
949	3980000	ADELL, VILLAGE OF	3
950	3984000	BELOIT, TOWN OF (ROCK)	33
951	3986000	ADAMS-FRIENDSHIP AREA SCH DIST	294
952	3991000	PLYMOUTH JOINT SCHOOL DISTRICT	328
953	4005000	BARRON, TOWN OF (BARRON)	1
954	4015000	SENECA SCHOOL DISTRICT	28
955	4087000	THERESA, TOWN OF (DODGE)	2
956	4163000	NORWALK-ONTARIO SCHOOL DIST	120
957	4166000	LODI, TOWN OF (COLUMBIA)	3
958	4170000	VERMONT, TOWN OF (DANE)	2
959	4172000	GEORGETOWN, TOWN OF (POLK)	1
960	4176000	PLOVER, TOWN OF (PORTAGE)	0
961	4184000	BRIGHTON SCH DIST #1	14
962	4192000	OCONOMOWOC LAKE, VILLAGE OF	10
963	4193000	EAUCLAIRE CITY-CO HEALTH DPT	63
964	4194000	LAKE NEBAGAMON, VILLAGE OF	6
965	4201000	SOUTH LANCASTER, TOWN (GRANT)	1
966	4208000	WHITNALL SCHOOL DISTRICT	304
967	4212000	ORIENTA, TOWN OF (BAYFIELD)	1
968	4214000	IRON RIVER, TOWN OF (BAYFIELD)	14
969	4215000	TAINTER, TOWN OF (DUNN)	3
970	4221000	TRI-COUNTY AREA SCH DIST-PLNFD	99
971	4222000	WHITEWATER UNIFIED SCHOOL DIST	285
972	4223000	SOUTHERN DOOR COUNTY SCH DIST	173
973	4230000	MARSHALL JT SCH DIST #2 ETAL	185
974	4234000	MUSKEGO-NORWAY SCHOOL DISTRICT	579
975	4236000	WISCONSIN DELLS SCHOOL DIST	256
976	4239000	SUMMIT, TOWN OF (DOUGLAS)	2
977	4283000	DESOTO AREA SCHOOL DISTRICT	82
978	4284000	RANDOLPH SCHOOL DISTRICT	85
979	4285000	KICKAPOO AREA SCHOOL DISTRICT	67
980	4287000	WHEATLAND JT SCH DIST #1 ETAL	59

NBR	EIN	EMPLOYER NAME	EMPLOYEES
981	4299000	ST NAZIANZ, VILLAGE OF	3
982	4300000	DELAFIELD, CITY OF	44
983	4309000	FALL RIVER, VILLAGE OF	10
984	4322000	WILD ROSE, VILLAGE OF	7
985	4325000	ELEVA-STRUM SCHOOL DISTRICT	97
986	4350000	OCONOMOWOC, TOWN OF (WAUKESHA)	25
987	4352000	STANTON, TOWN OF (DUNN)	2
988	4359000	BIRCHWOOD, VILLAGE OF	5
989	4360000	SULLIVAN, VILLAGE OF	4
990	4364000	MARENGO, TOWN OF (ASHLAND)	1
991	4365000	ELK MOUND AREA SCHOOL DISTRICT	134
992	4368000	LEAGUE OF WISC MUNICIPALITIES	8
993	4370000	DOUSMAN, VILLAGE OF	5
994	4371000	DICKEYVILLE, VILLAGE OF	5
995	4372000	DOVER, TOWN OF (RACINE)	4
996	4375000	ABBOTSFORD SCHOOL DISTRICT	74
997	4376000	ANTIGO UNIFIED SCHOOL DISTRICT	370
998	4377000	BEAVER DAM UNIFIED SCHOOL DIST	527
999	4379000	MONONA GROVE SCHOOL DISTRICT	413
1000	4384000	HOWARD-SUAMICO SCHOOL DISTRICT	678
1001	4386000	NEW BERLIN SCHOOL DISTRICT	501
1002	4387000	NEW LONDON SCHOOL DISTRICT	296
1003	4389000	SAUK PRAIRIE SCHOOL DISTRICT	399
1004	4390000	RACINE UNIFIED SCHOOL DISTRICT	2712
1005	4391000	SHIOCTON SCHOOL DISTRICT	105
1006	4392000	WAUPACA SCHOOL DISTRICT	352
1007	4396000	MENOMINEE COUNTY	90
1008	4397000	MENOMINEE, TOWN OF (MENOMINEE)	0
1009	4398000	SOUTHEASTERN WIS REG PLAN COMM	65
1010	4415000	HUGHES, TOWN OF (BAYFIELD)	2
1011	4417000	DEERFIELD COMM SCHOOL DISTRICT	130
1012	4420000	MILTON SCHOOL DISTRICT	432
1013	4431000	POYNETTE SCHOOL DISTRICT	145
1014	4434000	WASCOTT, TOWN OF (DOUGLAS)	8

NBR	EIN	EMPLOYER NAME	EMPLOYEES
1015	4435000	PORT WING, TOWN OF (BAYFIELD)	2
1016	4438000	POUND, VILLAGE OF	1
1017	4444000	TOMAHAWK SCHOOL DISTRICT	168
1018	4446000	DUNN, TOWN OF (DANE)	9
1019	4447000	ASHLAND, TOWN OF (ASHLAND)	2
1020	4448000	MAPLE, TOWN OF (DOUGLAS)	3
1021	4457000	WINDSOR SANITARY DISTRICT #1	2
1022	4459000	LEBANON, TOWN OF (DODGE)	2
1023	4480000	SOUTHWEST WIS LIBRARY SYSTEM	6
1024	4482000	CORNING, TOWN OF (LINCOLN)	2
1025	4489000	COLBY/ABBOTSFORD JT POLICE COM	7
1026	4492000	GRANT, TOWN OF (PORTAGE)	2
1027	4494000	AUBURNDALE SCHOOL DISTRICT	72
1028	4495000	NORTHERN OZAUKEE SCHOOL DIST	95
1029	4496000	BELLEVILLE SCHOOL DISTRICT	131
1030	4498000	WISCONSIN HEIGHTS SCHOOL DIST	123
1031	4499000	BOWLER SCHOOL DISTRICT	68
1032	4500000	BROWN DEER SCHOOL DISTRICT	236
1033	4501000	COLBY SCHOOL DISTRICT	95
1034	4503000	MCFARLAND SCHOOL DISTRICT	353
1035	4504000	MEDFORD AREA PUBLIC SCHL DIST	263
1036	4505000	MINERAL POINT UNIF SCH DIST	65
1037	4506000	PARDEEVILLE AREA SCHOOL DIST	119
1038	4508000	SHEBOYGAN FALLS SCHOOL DIST	245
1039	4509000	WHITE LAKE SCHOOL DISTRICT	30
1040	4510000	WRIGHTSTOWN COMMUNITY SCH DIST	139
1041	4516000	MANAWA SCHOOL DISTRICT	103
1042	4517000	RAYMOND SCH DIST #14	53
1043	4521000	SANBORN, TOWN OF (ASHLAND)	4
1044	4522000	MENASHA, TOWN OF (WINNEBAGO)	96
1045	4525000	PEWAUKEE, CITY OF	109
1046	4529000	BELMONT COMMUNITY SCHOOL DIST	52
1047	4530000	BLOOMER SCHOOL DISTRICT	131
1048	4533000	BARNEVELD SCHOOL DISTRICT	41

NBR	EIN	EMPLOYER NAME	EMPLOYEES
1049	4535000	NORTH SHORE WATER COMMISSION	6
1050	4540000	HOLLANDALE, VILLAGE OF	2
1051	4542000	BANGOR SCHOOL DISTRICT	82
1052	4546000	WASHINGTON, TOWN OF (LACROSSE)	1
1053	4548000	BELOIT TURNER SCHOOL DISTRICT	195
1054	4550000	FREEDOM AREA SCHOOL DISTRICT	205
1055	4551000	HORTONVILLE AREA SCHOOL DIST	462
1056	4555000	SEYMOUR COMMUNITY SCHOOL DIST	262
1057	4557000	LAC DU FLAMBEAU, TOWN (VILAS)	9
1058	4558000	COBB, VILLAGE OF	4
1059	4559000	MEDFORD, TOWN OF (TAYLOR)	2
1060	4561000	BAILEYS HARBOR, TOWN OF (DOOR)	7
1061	4563000	HAMILTON SCHOOL DISTRICT	551
1062	4564000	ELMBROOK SCHOOL DISTRICT	1116
1063	4565000	NORTH CAPE CONSOLIDATED S D	30
1064	4575000	WHITELAW, VILLAGE OF	2
1065	4577000	UNION CENTER, VILLAGE OF	5
1066	4583000	EGG HARBOR, TOWN OF (DOOR)	2
1067	4584000	BOYCEVILLE, VILLAGE OF	9
1068	4593000	BERRY, TOWN OF (DANE)	2
1069	4594000	ROME, TOWN OF (ADAMS)	34
1070	4596000	ALGOMA SCHOOL DISTRICT	89
1071	4597000	GERMANTOWN SCHOOL DISTRICT	564
1072	4598000	ROSENDALE-BRANDON SCHOOL DIST	151
1073	4599000	YORKVILLE JT SCH DIST #2 ETAL	46
1074	4600000	HOWARD, VILLAGE OF	41
1075	4601000	NESHKORO, VILLAGE OF	3
1076	4604000	CAMPBELLSPORT SCHOOL DISTRICT	196
1077	4605000	DODGELAND SCHOOL DISTRICT	123
1078	4606000	MERTON COMMUNITY SCHOOL DIST	99
1079	4607000	PRAIRIE FARM, VILLAGE OF	71
1080	4608000	GREENFIELD, TOWN OF (LACROSSE)	2
1081	4614000	NORTH CRAWFORD SCHOOL DISTRICT	76
1082	4615000	MELROSE-MINDORO SCHOOL DIST	120

NBR	EIN	EMPLOYER NAME	EMPLOYEES
1083	4616000	VERONA AREA SCHOOL DISTRICT	723
1084	4643000	BRISTOL, TOWN, SCH DIST #1	78
1085	4644000	CAMBRIA-FRIESLAND SCHOOL DIST	64
1086	4645000	WAUNAKEE COMMUNITY SCHOOL DIST	569
1087	4646000	WEYAUWEGA-FREMONT SCHOOL DIST	150
1088	4648000	DELTA, TOWN OF (BAYFIELD)	3
1089	4649000	DEFOREST AREA SCHOOL DISTRICT	441
1090	4650000	ITHACA SCHOOL DISTRICT	66
1091	4651000	KEWAUNEE SCHOOL DISTRICT	131
1092	4654000	MOUNT HOREB AREA SCHOOL DIST	330
1093	4655000	WESTON SCHOOL DISTRICT	58
1094	4657000	CLYMAN, VILLAGE OF	2
1095	4660000	CAMP DOUGLAS, VILLAGE OF	5
1096	4664000	OXFORD, VILLAGE OF (MARQUETTE)	5
1097	4665000	CLEVELAND, VILLAGE OF	10
1098	4667000	CADDY VISTA SANITARY DISTRICT	0
1099	4670000	GIBRALTAR AREA SCHOOL DISTRICT	97
1100	4672000	NECEDAH AREA SCHOOL DISTRICT	118
1101	4673000	KEWASKUM SCHOOL DISTRICT	237
1102	4674000	WATERTOWN UNIFIED SCHOOL DIST	529
1103	4676000	NORTH CENTRAL TECH COLLEGE	500
1104	4677000	DE SOTO, VILLAGE OF	3
1105	4679000	PRESTON, TOWN OF (ADAMS)	3
1106	4681000	BURLINGTON AREA SCHOOL DIST	394
1107	4688000	BROWNSVILLE, VILLAGE OF	4
1108	4692000	GILMANTON SCHOOL DISTRICT	20
1109	4693000	BROOKLYN, TOWN OF (GREEN)	2
1110	4697000	CLAYTON, TOWN OF (POLK)	1
1111	4698000	MINONG, VILLAGE OF	7
1112	4699000	CLAYTON, VILLAGE OF	5
1113	4701000	WHITING, VILLAGE OF	5
1114	4702000	KENOSHA UNIFIED SCH DIST #1	2864
1115	4705000	SPOONER CITY HOUSING AUTH	2
1116	4707000	MILTON, CITY OF	38

NBR	EIN	EMPLOYER NAME	EMPLOYEES
1117	4708000	IXONIA, TOWN OF (JEFFERSON)	10
1118	4711000	ASHLAND SCHOOL DISTRICT	300
1119	4712000	BLACK HAWK SCHOOL DISTRICT	64
1120	4713000	JUDA SCHOOL DISTRICT	32
1121	4714000	LUXEMBURG-CASCO SCHOOL DIST	161
1122	4715000	SOUTHWEST WISC TECH COLLEGE	196
1123	4716000	MADISON AREA TECH COLLEGE	1788
1124	4718000	WAUKESHA CO TECHNICAL COLLEGE	823
1125	4719000	MORAINE PARK TECHNICAL COLLEGE	470
1126	4720000	LAKESHORE TECHNICAL COLLEGE	361
1127	4721000	FOX VALLEY TECHNICAL COLLEGE	868
1128	4722000	NORTHEAST WISC TECH COLLEGE	886
1129	4723000	MID-STATE TECHNICAL COLLEGE	287
1130	4724000	NICOLET AREA TECHNICAL COLLEGE	198
1131	4728000	RICHMOND, TOWN OF (WALWORTH)	2
1132	4730000	SPIRIT, TOWN OF (PRICE)	1
1133	4733000	RIVERDALE SCHOOL DISTRICT	55
1134	4734000	KETTLE MORAINE SCHOOL DISTRICT	532
1135	4735000	PLYMOUTH CITY HOUSING AUTH	2
1136	4738000	MANITOWOC CITY HOUSING AUTH	3
1137	4742000	BRUCE VILLAGE HOUSING AUTH	2
1138	4748000	STOCKTON, TOWN OF (PORTAGE)	5
1139	4750000	KNIGHT, TOWN OF (IRON)	3
1140	4751000	OSSEO-FAIRCHILD SCHOOL DIST	131
1141	4752000	NORTH LAKELAND SCHOOL DISTRICT	35
1142	4753000	SOUTHWESTERN WISC COMM SCH DIS	55
1143	4754000	MERCER SCHOOL DISTRICT	29
1144	4755000	RHINELANDER SCHOOL DISTRICT	291
1145	4756000	CHIPPEWA VALLEY TECH COLLEGE	488
1146	4757000	WESTERN TECH COLLEGE	504
1147	4758000	BLACKHAWK TECHNICAL COLLEGE	302
1148	4760000	THREE LAKES SANITARY DIST #1	1
1149	4761000	ELEVA, VILLAGE OF	4
1150	4764000	MIDDLETON-CROSS PLNS SCH DIST	964

NBR	EIN	EMPLOYER NAME	EMPLOYEES
1151	4765000	WITTENBERG-BIRNAMWOOD SCH DIST	176
1152	4772000	MONROE CITY HOUSING AUTHORITY	3
1153	4773000	KAUKAUNA CITY HOUSING AUTH	5
1154	4775000	SHAWANO CITY HOUSING AUTHORITY	4
1155	4776000	HUM SRV CTR ONIDA VILAS FORST	40
1156	4781000	FOND DU LAC CITY HOUSING AUTH	20
1157	4782000	SOMERSET, TOWN OF (ST CROIX)	3
1158	4783000	LAKE MILLS CITY HOUSING AUTH	2
1159	4784000	BRISTOL, TOWN OF (KENOSHA)	0
1160	4787000	Laona Sanitary District	2
1161	4791000	MILWAUKEE AREA TECH COLLEGE	1861
1162	4794000	HULL, TOWN OF (PORTAGE)	6
1163	4798000	RICHLAND CENTER CITY HOUS AUTH	2
1164	4805000	EDGERTON CITY HOUSING AUTH	3
1165	4809000	HUDSON CITY HOUSING AUTHORITY	2
1166	4810000	WESTERN RACINE CO SEWERAGE DIS	2
1167	4825000	GREENWOOD, TOWN OF (VERNON)	2
1168	4827000	OCONTO CITY HOUSING AUTHORITY	3
1169	4829000	UNIFIED COMMUNITY SERVICES	30
1170	4833000	SHARON, TOWN OF (PORTAGE)	2
1171	4837000	OCONTO UNIFIED SCHOOL DISTRICT	159
1172	4838000	WASHINGTON-CALDWELL SCH DIST	31
1173	4839000	ALTOONA CITY HOUSING AUTHORITY	1
1174	4841000	STETTIN, TOWN OF (MARATHON)	7
1175	4842000	WAUSAUKEE VILLAGE HOUS AUTH	3
1176	4843000	PADDOCK LAKE, VILLAGE OF	11
1177	4845000	APPLETON CITY HOUSING AUTH	17
1178	4846000	SHEBOYGAN CITY HOUSING AUTH	7
1179	4848000	NEW LONDON CITY HOUSING AUTH	3
1180	4850000	NORWAY SANITARY DISTRICT #1	5
1181	4851000	RHINELANDER CITY HOUSING AUTH	4
1182	4854000	LOGANVILLE, VILLAGE OF	2
1183	4862000	PECATONICA AREA SCHOOL DIST	72
1184	4863000	GATEWAY TECH COLLEGE	632

NBR	EIN	EMPLOYER NAME	EMPLOYEES
1185	4864000	MERRILL CITY HOUSING AUTHORITY	6
1186	4868000	STEVENS POINT CITY HOUS AUTH	9
1187	4871000	BELLEVUE, VILLAGE OF (BROWN)	42
1188	4872000	WISCONSIN RAPIDS CITY HS AUTH	8
1189	4874000	BROCKWAY SANITARY DISTRICT #1	4
1190	4875000	MUKWONAGO SCHOOL DISTRICT	553
1191	4876000	MARINETTE CITY HOUSING AUTH	5
1192	4877000	CAMPBELL, TOWN OF (LA CROSSE)	11
1193	4878000	RIVER FALLS CITY HOUSING AUTH	8
1194	4879000	WATERTOWN CITY HOUSING AUTH	2
1195	4880000	SHAWANO COUNTY HOUSING AUTH	4
1196	4881000	MAZOMANIE, TOWN OF (DANE)	2
1197	4887000	PLOVER, VILLAGE OF	57
1198	4888000	HAWKINS, VILLAGE OF	2
1199	4891000	WISCONSIN VALLEY LIBRARY SRV	8
1200	4892000	TRENTON, TOWN OF (WASHINGTON)	6
1201	4893000	WABENO SANITARY DISTRICT #1	2
1202	4894000	ONALASKA, TOWN OF (LA CROSSE)	3
1203	4896000	RICE LAKE CITY HOUSING AUTH	6
1204	4897000	HAZELHURST, TOWN OF (ONEIDA)	3
1205	4898000	ROBERTS, VILLAGE OF	13
1206	4899000	ASHLAND CITY HOUSING AUTH	6
1207	4900000	MEQUON-THIENSVILLE SCHOOL DIST	404
1208	4901000	WISCONSIN INDIANHEAD TECH COLL	530
1209	4903000	CONSOL KOSHKONONG SANITARY DIS	5
1210	4908000	FRIESS LAKE SCHOOL DISTRICT	28
1211	4909000	ROCKLAND, VILLAGE OF	3
1212	4911000	EAST CENTRAL WIS REG PLAN COMM	21
1213	4912000	OAKLAND, TOWN OF (JEFFERSON)	4
1214	4913000	WAUKESHA CITY HOUSING AUTH	13
1215	4914000	WEST BEND CITY HOUSING AUTH	6
1216	4915000	NORTHLAND PINES SCHOOL DIST	204
1217	4916000	BIG CEDAR LAKE PROT/REHAB DIST	2
1218	4920000	WALTER E OLSON MEMORIAL LIB	3

NBR	EIN	EMPLOYER NAME	EMPLOYEES
1219	4921000	JEFFERSON CITY HOUSING AUTH	3
1220	4923000	WASHBURN SCHOOL DISTRICT	90
1221	4924000	DELAVAN LAKE SANITARY DISTRICT	10
1222	4927000	VIROQUA CITY HOUSING AUTHORITY	4
1223	4928000	ANTIGO CITY HOUSING AUTH	9
1224	4931000	WASHBURN CITY HOUSING AUTH	4
1225	4932000	SOMERSET, VILLAGE OF	24
1226	4933000	BAY-LAKE REGIONAL PLAN COMM	9
1227	4935000	WEST CENTRAL WIS REG PLAN COMM	11
1228	4937000	JEFFERSON SCHOOL DISTRICT	275
1229	4942000	SOUTH MILWAUKEE CDA	4
1230	4943000	SHAWANO LAKE SANITARY DIST #1	11
1231	4944000	WHITE LAKE, VILLAGE OF	3
1232	4947000	NORTH CENTRAL HEALTH CARE FAC	745
1233	4948000	CITY-COUNTY DATA CENTER COMM	27
1234	4949000	NORTH CENTRAL WIS REG PLAN COM	8
1235	4955000	MERCER SANITARY DISTRICT #1	3
1236	4958000	CRIVITZ, VILLAGE OF	10
1237	4959000	WARRENS, VILLAGE OF	5
1238	4960000	SOUTH CENTRAL LIBRARY SYSTEM	53
1239	4961000	MOSINEE SCHOOL DISTRICT	255
1240	4963000	GILMAN, VILLAGE OF	6
1241	4964000	RUDOLPH, TOWN OF (WOOD)	1
1242	4965000	PHELPS SCHOOL DISTRICT	28
1243	4966000	BERGEN, TOWN OF (VERNON)	1
1244	4967000	CHASEBURG, VILLAGE OF	2
1245	4968000	HEART OF THE VALLEY MET SEW DS	11
1246	4969000	LAKELAND SANITARY DISTRICT #1	6
1247	4971000	ST GERMAIN, TOWN OF (VILAS)	15
1248	4972000	OUTAGAMIE WAUPC CO FED LIBR SY	14
1249	4974000	PHELPS SANITARY DISTRICT #1	2
1250	4975000	ELK MOUND, VILLAGE OF	7
1251	4978000	RACINE COUNTY HOUSING AUTH	11
1252	4983000	MATTOON, VILLAGE OF	3

NBR	EIN	EMPLOYER NAME	EMPLOYEES
1253	4985000	FERRYVILLE, VILLAGE OF	1
1254	4986000	MENOMINEE INDIAN SCHOOL DIST	168
1255	4989000	NORTHERN WATERS LIBRARY SERV	6
1256	4991000	NORTHERN MORAINE UTILITY COMM	1
1257	4992000	ST JOSEPH SANITARY DISTRICT #1	1
1258	4994000	SAUK COUNTY HOUSING AUTHORITY	7
1259	4996000	NICOLET FEDERATED LIBRARY SYS	8
1260	4997000	DANE COUNTY HOUSING AUTHORITY	10
1261	4998000	WINNEFOX LIBRARY SYSTEM	17
1262	4999000	WYOCENA, VILLAGE OF	4
1263	5002000	BAYFIELD COUNTY HOUSING AUTH	4
1264	5003000	GREEN LAKE SANITARY DISTRICT	4
1265	5005000	HAUGEN, VILLAGE OF	1
1266	5008000	CLINTONVILLE CITY HOUS AUTH	2
1267	5009000	OUTAGAMIE COUNTY HOUSING AUTH	31
1268	5010000	WALWORTH COUNTY METRO SEW DIST	17
1269	5011000	FREEDOM SANITARY DISTRICT #1	3
1270	5017000	INDIANHEAD FED LIBRARY SYSTEM	13
1271	5018000	WEST ALLIS-WEST MILW SCH DIST	1051
1272	5022000	BURLINGTON CITY HOUSING AUTH	2
1273	5025000	DALLAS, VILLAGE OF	1
1274	5026000	NORTH HUDSON, VILLAGE OF	13
1275	5027000	MISSISSIPPI RIVER REG PLAN COM	5
1276	5028000	NORTHWEST REGIONAL PLAN COMM	17
1277	5029000	SOUTHWESTERN WIS REG PLAN COMM	9
1278	5033000	DELAVAN-DARIEN SCHOOL DISTRICT	292
1279	5034000	FONTANA JT SCH DIST #8 ETAL	33
1280	5036000	OSHKOSH CITY HOUSING AUTHORITY	33
1281	5037000	LINCOLN COUNTY HOUSING AUTH	2
1282	5038000	WIND POINT, VILLAGE OF	6
1283	5039000	WEST BEND, TOWN OF(WASHINGTON)	3
1284	5042000	EAU CLAIRE CITY HOUSING AUTH	17
1285	5043000	DELAFIELD-HARTL WATER POL CNTL	7
1286	5045000	HOWARDS GROVE, VILLAGE OF	8

NBR	EIN	EMPLOYER NAME	EMPLOYEES
1287	5050000	ORFORDVILLE VOL FIRE PROT DIST	1
1288	5053000	NICHOLS, VILLAGE OF	1
1289	5054000	DODGE COUNTY HOUSING AUTHORITY	5
1290	5055000	FITCH-RONA EMS DISTRICT	19
1291	5057000	ERIN, TOWN OF (WASHINGTON)	5
1292	5058000	LYONS SANITARY DISTRICT #2	3
1293	5059000	EASTMAN, VILLAGE OF	2
1294	5061000	SCOTT, TOWN OF (SHEBOYGAN)	7
1295	5062000	ASHLAND COUNTY HOUSING AUTH	11
1296	5063000	APPLETON AREA SCHOOL DISTRICT	1767
1297	5064000	BARABOO SCHOOL DISTRICT	523
1298	5065000	BELOIT SCHOOL DISTRICT	912
1299	5066000	CEDARBURG SCHOOL DISTRICT	405
1300	5067000	CHIPPEWA FALLS AREA UNIF SCH	595
1301	5068000	CUDAHY SCHOOL DISTRICT	347
1302	5069000	DEPERE UNIFIED SCHOOL DISTRICT	479
1303	5070000	EAU CLAIRE AREA SCHOOL DIST	1423
1304	5071000	FOND DU LAC SCHOOL DISTRICT	842
1305	5072000	GLENDALE-RIVER HILLS SCH DIST	129
1306	5073000	GREEN BAY AREA PUBLIC SCHOOLS	2838
1307	5074000	JANESVILLE SCHOOL DISTRICT	1454
1308	5075000	KAUKAUNA AREA SCHOOL DISTRICT	396
1309	5076000	LA CROSSE SCHOOL DISTRICT	990
1310	5077000	MADISON METRO SCHOOL DISTRICT	4658
1311	5078000	MANITOWOC PUBLIC SCHOOL DIST	699
1312	5079000	MARINETTE SCHOOL DISTRICT	242
1313	5080000	MARSHFIELD UNIFIED SCHOOL DIST	440
1314	5081000	MENASHA JOINT SCHOOL DISTRICT	471
1315	5082000	MERRILL AREA COMMON PUB SCH	368
1316	5083000	NEENAH JOINT SCHOOL DISTRICT	720
1317	5084000	OAK CREEK-FRANKLIN JT SCH DIST	661
1318	5085000	ONALASKA SCHOOL DISTRICT	442
1319	5086000	OSHKOSH AREA SCHOOL DISTRICT	1259
1320	5087000	PESHTIGO SCHOOL DISTRICT	127

NBR	EIN	EMPLOYER NAME	EMPLOYEES
1321	5088000	PORT WASHINGTON-SAUKVILLE SCH	329
1322	5089000	PORTAGE COMMUNITY SCHOOL DIST	343
1323	5090000	PRAIRIE DU CHIEN AREA SCH DIST	177
1324	5091000	REEDSBURG SCHOOL DISTRICT	364
1325	5092000	RICE LAKE AREA SCHOOL DISTRICT	326
1326	5093000	SHEBOYGAN AREA SCHOOL DISTRICT	1362
1327	5094000	SOUTH MILWAUKEE SCHOOL DIST	436
1328	5095000	STANLEY-BOYD AREA SCHOOL DIST	126
1329	5096000	STEVENS POINT AREA PUB SCH DIS	937
1330	5097000	STURGEON BAY SCHOOL DISTRICT	180
1331	5098000	SUPERIOR SCHOOL DISTRICT	644
1332	5099000	TWO RIVERS PUBLIC SCHOOL DIST	241
1333	5100000	WAUKESHA SCHOOL DISTRICT	1670
1334	5101000	WAUSAU SCHOOL DISTRICT	1250
1335	5102000	WAUWATOSA SCHOOL DISTRICT	924
1336	5103000	WISCONSIN RAPIDS SCHOOL DIST	753
1337	5104000	KENOSHA JOINT SERVICES	67
1338	5105000	SAWYER COUNTY HOUSING AUTH	4
1339	5107000	WEST BARABOO, VILLAGE OF	5
1340	5108000	TREMPEALEAU COUNTY HOUS AUTH	7
1341	5114000	SLINGER VILLAGE HOUSING AUTH	1
1342	5117000	HARTLAND JT SCH DIST #3 ETAL	135
1343	5119000	CHILTON CITY HOUSING AUTH	3
1344	5125000	CESA #1	120
1345	5126000	CESA #2	178
1346	5127000	CESA #3, FENNIMORE	38
1347	5128000	CESA #4, LACROSSE	50
1348	5129000	CESA #5, PORTAGE	206
1349	5130000	CESA #6, OSHKOSH	184
1350	5131000	CESA #7, GREEN BAY	274
1351	5132000	CESA #8, GILLETT	131
1352	5133000	CESA #9, TOMAHAWK	33
1353	5134000	CESA #10, CHIPPEWA FALLS	128
1354	5135000	CESA #11	232

NBR	EIN	EMPLOYER NAME	EMPLOYEES
1355	5136000	CESA #12, ASHLAND	49
1356	5137000	WISCONSIN TOWNS ASSOCIATION	6
1357	5139000	GRAND CHUTE-MENASHA WS SEW COM	7
1358	5143000	RIB MOUNTAIN METRO SEW DIST	7
1359	5147000	LAKE, TOWN OF (MARINETTE)	2
1360	5148000	WAVERLY SANITARY DISTRICT	5
1361	5151000	GOODMAN SANITARY DISTRICT NO 1	1
1362	5156000	LAKE COUNTRY SCH DIST	68
1363	5157000	ALGOMA CITY HOUSING AUTH	4
1364	5159000	WIS DELLS-LAKE DELTON SEW COMM	3
1365	5161000	FONTANA/WALWORTH WTR POL CN CM	7
1366	5164000	BAY AREA RURAL TRANSIT COMMISS	14
1367	5172000	WIS ALLIANCE OF CITIES	0
1368	5174000	GRANTSBURG FIRE PROT ASSN	0
1369	5176000	RICHFIELD JSD #1	34
1370	5177000	EGG HARBOR, VILLAGE OF	13
1371	5178000	EPHRAIM, VILLAGE OF	10
1372	5179000	BROOKFIELD, TOWN SAN DIST #4	5
1373	5191000	BLAIR-TAYLOR SCHOOL DISTRICT	98
1374	5192000	SILVER LAKE SAN. DIST.	6
1375	5196000	WISCONSIN MUNIC MUTAL INS CO	8
1376	5197000	ROSENDALE VILLAGE OF	5
1377	5198000	EASTERN SHORES LIB SYS	9
1378	5199000	LADYSMITH HOUSING AUTH	2
1379	5202000	MID-WIS FEDERATED LIB SYS	5
1380	5205000	HALLIE SANITARY DIST #1	0
1381	5206000	ELLINGTON TOWN OF (OUTAGAMIE)	0
1382	5207000	ALLENTON SANITARY DIST	3
1383	5208000	OREGON AREA FIRE - EMS DIST	30
1384	5210000	DURAND SCHOOL DISTRICT	139
1385	5211000	NORTH SHORE PUB SAF COMM	16
1386	5264000	NEWBURG, VILLAGE OF	4
1387	5268000	OTTAWA, TOWN OF (WAUKESHA)	2
1388	5292000	EDGERTON FIRE PROT DIST	5

NBR	EIN	EMPLOYER NAME	EMPLOYEES
1389	5293000	WINDING RIVERS LIBRARY SYS	8
1390	5294000	BLUE MOUNDS, VILLAGE OF	7
1391	5295000	ONALASKA COMM DEV AUTH	6
1392	5296000	BARABOO DISTRICT AMBULANCE	37
1393	5297000	SHERWOOD, VILLAGE OF	6
1394	5298000	WAUPACA CHAIN O'LAKES SAN DIST	1
1395	5299000	CHIPPEWA CO HOUSING AUTH	8
1396	5300000	DEER-GROVE EMS DIST	8
1397	5312000	FISH CREEK SANITARY DIST #1	4
1398	5318000	KEGONSA SANITARY DISTRICT	3
1399	5322000	LAKE RIPLEY MGT DISTRICT	1
1400	5340000	SHEBOYGAN SANITARY DISTRICT #2	0
1401	5341000	SHEBOYGAN SANITARY DISTRICT #3	0
1402	5346000	MILWAUKEE CO FED LIB SYS	5
1403	5347000	MIDDLETON FIRE DISTRICT	5
1404	5348000	LAWRENCE, TOWN OF (BROWN CO)	7
1405	5349000	GREENVILLE, TOWN OF (OUTAGAMIE	22
1406	5351000	EVEREST METRO POLICE COMM	28
1407	5352000	NORTH SHORE FIRE DEPT	109
1408	5353000	RIVER RIDGE SCHOOL DISTRICT	74
1409	5354000	WAUNAKEE AREA FIRE DIST	1
1410	5355000	WEST CENTRAL WI BISOLIDS COMM	3
1411	5356000	PLEASANT SPRINGS SAN DIS #1	1
1412	5357000	HOLMEN AREA FIRE DEPT	4
1413	5358000	BIG BEND, VILLAGE OF	12
1414	5359000	VALLEY RIDGE CLEAN WATER COMM	1
1415	5360000	WESTON,VILLAGE(MARATHON)	43
1416	5361000	HURLEY HOUSING AUTHORITY	1
1417	5362000	WILSON, VILLAGE OF	1
1418	5363000	CUMBERLAND MUNICIPAL UTILITY	9
1419	5365000	MENASHA ELECTRIC & WATER	39
1420	5366000	SHAWANO MUNICIPAL UTILITIES	18
1421	5367000	NEW RICHMOND AMBULANCE	15
1422	5368000	MUNI COURT W WAUKESHA COUNTY	4

NBR	EIN	EMPLOYER NAME	EMPLOYEES
1423	5369000	LAKE COMO SANITARY DIST #1	5
1424	5370000	EXETER, TOWN OF (GREEN COUNTY)	2
1425	5371000	DEFOREST AREA FIRE BOARD DIST	6
1426	5372000	MILW AREA DOM ANIMAL CONT COMM	37
1427	5374000	BAY CITY, VILLAGE OF	2
1428	5375000	MUKWONAGO, TOWN OF	12
1429	5376000	ELLSWORTH AREA AMBULANCE SERV	0
1430	5377000	WAUNAKEE WATER & LIGHT	16
1431	5378000	LAKESHORES LIBRARY SYSTEM	6
1432	5379000	MID-MORAINE MUNICIPAL COURT	9
1433	5380000	EASTERN COLUMBIA CTY JM COURT	2
1434	5381000	GERMANTOWN, TOWN OF	4
1435	5382000	WAUKESHA, TOWN OF(WAUKESHA)	18
1436	5383000	TAYLOR COUNTY HOUSING AUTH	2
1437	5384000	REEDSVILLE VIL HOUSING AUTH	2
1438	5385000	BIG BEND VERNON FIRE BD	0
1439	5386000	LODI COMMUNITY AMBULANCE SERV	3
1440	5387000	DANE-IOWA WASTEWATER COMM	3
1441	5388000	HARMONY GROVE-OKEE JT SEW COMM	3
1442	5389000	DANE COUNTY DIST #1 EMS	1
1443	5390000	STOCKBRIDGE, VILLAGE OF	1
1444	5391000	DOUSMAN FIRE DISTRICT	3
1445	5392000	GB/BROWN CO PRO FTBLL STAD DIS	2
1446	5393000	ALGOMA, TOWN OF	4
1447	5394000	VERONA JOINT FIRE DIST	14
1448	5395000	MOSINEE FIRE DIST	3
1449	5396000	WALES/GENESEE JOINT FIRE BD	2
1450	5397000	HOBART, VILLAGE OF	16
1451	5398000	BARRON CO HOUSING AUTHORITY	3
1452	5399000	JUNCTION CITY, VILLAGE OF	2
1453	5400000	FOX LAKE WASTEWATER CONTR COMM	3
1454	5401000	SAUK CITY HOUSING AUTHORITY	2
1455	5402000	SPOONER FIRE DISTRICT	1
1456	5403000	SUAMICO, VILLAGE OF	24

NBR	EIN	EMPLOYER NAME	EMPLOYEES
1457	5404000	RIPON AREA FIRE DISTRICT	0
1458	5405000	DELLS-DELTON EMS COMM	36
1459	5406000	ALGOMA SANITARY DIST	6
1460	5407000	SAUK PRAIRIE POLICE COMMISSION	17
1461	5408000	MARSHFIELD CDA	12
1462	5409000	WAUNAKEE AREA EMS	1
1463	5410000	LAKE HALLIE, VILLAGE OF	18
1464	5412000	DELTON FIRE & AMBULANCE COMM	2
1465	5413000	RICHLAND FIRE DEPARTMENT	2
1466	5414000	CASCO, VILLAGE OF	2
1467	5415000	CHIPPEWA FIRE DISTRICT	20
1468	5416000	MARSHFIELD ELECTRIC & WATER	44
1469	5417000	RIVER FALLS MUNICIPAL UTILITY	25
1470	5418000	PALMYRA FIRE DISTRICT	3
1471	5419000	KELLY LAKE SANITARY DIST #1	1
1472	5420000	NEW GLARUS EMS	6
1473	5421000	ELK MOUND, TOWN OF	1
1474	5423000	ROCHESTER, VILLAGE OF	9
1475	5424000	WARREN, TOWN OF	1
1476	5425000	MT HOREB AREA FIRE DEPT	6
1477	5426000	VANGUARD ELECTRIC UTIL COMM	7
1478	5427000	MARSHALL AREA EMS DIST #14	2
1479	5429000	MADELINE SANITARY DISTRICT	2
1480	5430000	SAUK PRAIRIE RECREATION COMM	1
1481	5431000	SAUK PRAIRIE AMBULANCE ASSOC	8
1482	5432000	TREVOR-WILMOT CONS GR S.D.	81
1483	5433000	LANNON, VILLAGE OF	7
1484	5435000	GRESHAM SCHOOL DIST	43
1485	5437000	CAPITAL AREA REG PLAN COMM	13
1486	5439000	COUNTRY ESTATES SAN DIST	1
1487	5440000	EAGLE RIVER UNION AIRPORT	3
1488	5441000	MANAWA RURAL FIRE DEPT	1
1489	5442000	COMMUNITY CARE OF CENT WISCON	249
1490	5443000	WESTERN WISCONSIN CARES	268

NBR	EIN	EMPLOYER NAME	EMPLOYEES
1491	5444000	NORTHERN BRIDGES	151
1492	5445000	SW FAMILY CARE ALLIANCE	156
1493	5447000	MANITOWOC-CALUMET LIB SYS	5
1494	5448000	CLAYTON, TOWN OF (WINNEBAGO)	6
1495	5449000	CAMBRIDGE-OAKLAND WSTEWTR COMM	2
1496	5450000	DOOR CTY TOURISM ZONE COMM	1
1497	5451000	CROSS PLAINS AREA EMS	2
1498	5452000	CHEQUAMEGON SCHOOL DISTRICT	122
1499	5453000	LAKE COUNTRY FIRE & RESCUE	25
1500	5454000	LAC LA BELLE, VILLAGE OF	1
1501	5455000	CENTRAL BROWN CTY WATER AUTH	1
1502	5456000	LAKELAND CARE DISTRICT	178
1503	5457000	CHETEK-WEYERHAEUSER AREA SD	146
1504	5458000	BRISTOL, VILLAGE OF	26
1505	5459000	NEENAH, TOWN OF	1
1506	5460000	NORTHEAST WI FAMILY CARE	0
1507	5461000	REEDSBURG AREA AMBULANCE SVCES	5
1508	5462000	IXONIA SANITARY DISTRICT	2
1509	5463000	BLOOMFIELD, VILLAGE OF	1
1510	5464000	ADRC of the Northwoords	5
1511	9999000	RE-ESTABLISHED ACCOUNTS	0
		TOTAL EMPLOYEES	**260,080**
		TOTAL EMPLOYERS	**1,511**
		EMPLOYERS NOT ON LINE	**48**
		% of EMPLOYERS ON LINE	**97%**

E.7 ETF SERVERS

Table 87 Servers in Use at WI ETF contains a complete list of the servers currently used at ETF. Note that the table also lists servers to which existing applications will be migrating as part of ETF's process of continuously upgrading its technical infrastructure.

Table 87 Servers in Use at WI ETF

SYSTEM	ASSET #	NAME	HARDWARE	PLATFORM	LOCATION	OS	NOTES

SYSTEM	ASSET #	NAME	HARDWARE	PLATFORM	LOCATION	OS	NOTES

SYSTEM	ASSET #	NAME	HARDWARE	PLATFORM	LOCATION	OS	NOTES

SYSTEM	ASSET #	NAME	HARDWARE	PLATFORM	LOCATION	OS	NOTES

SYSTEM	ASSET #	NAME	HARDWARE	PLATFORM	LOCATION	OS	NOTES

SYSTEM	ASSET #	NAME	HARDWARE	PLATFORM	LOCATION	OS	NOTES

SYSTEM	ASSET #	NAME	HARDWARE	PLATFORM	LOCATION	OS	NOTES
Platforms							
IBM Infrastructure							

SYSTEM	ASSET #	NAME	HARDWARE	PLATFORM	LOCATION	OS	NOTES

E.8 ETF PRINTERS

Table 88 Printers in Use at WI ETF

MS NAME	PRINTER MAKE AND MODEL	MONO/COLOR	DUPLEXER	ENV. FEEDER	TRAY 1	TRAY 2	TRAY 3	TRAY 4	OTHER	TAG #
Badger Road – 1st FLOOR										

MS NAME	PRINTER MAKE AND MODEL	MONO/COLOR	DUPLEXER	ENV. FEEDER	TRAY 1	TRAY 2	TRAY 3	TRAY 4	OTHER	TAG #
Badger Road – 2nd FLOOR										

MS NAME	PRINTER MAKE AND MODEL	MONO/COLOR	DUPLEXER	ENV. FEEDER	TRAY 1	TRAY 2	TRAY 3	TRAY 4	OTHER	TAG #
Badger Road – GROUND FLOOR										

MS NAME	PRINTER MAKE AND MODEL	MONO/COLOR	DUPLEXER	ENV. FEEDER	TRAY 1	TRAY 2	TRAY 3	TRAY 4	OTHER	TAG #
RIMROCK ROAD 2nd FLOOR										
RIMROCK ROAD 3rd FLOOR										

E.9 ETF SPREADSHEETS AND ACCESS DATABASES

E.9.1 FINANCIAL SYSTEMS

E.9.1.1 ACCOUNT ADJUSTMENTS CONTROL TOTALS

File maintained in Microsoft (MS) Access which produces control totals to be used in ensuring account adjustments are entered correctly. This file is also used for calculating financial statement entries.

Maintained by Office of Budget and Trust Finance.

E.9.1.2 BOARD FINANCIAL REPORTS (HEALTH AND EMPLOYEE REIMBURSEMENT ACCOUNT)

System maintained as part of Forecaster that is used to prepare monthly financial reports for use by Oversight Boards and Department program managers (actual data plus projections).

Maintained by Office of Budget and Trust Finance.

E.9.1.3 VARIOUS FINANCIAL STATEMENT WORKSHEETS

Files maintained in MS Excel of various spreadsheets used to accumulate numbers used in preparing financial statements (SWIB investments, accounting adjustments, etc.)

Maintained by Office of Budget and Trust Finance.

E.9.1.4 WISMART DOWNLOAD FUNCTION

This function is done using MS Excel and MS Access. Staff download WiSMART daily transactions from mainframe files to personal computer files to feed the Financial Accounting System. This function provides interface between WiSMART and Forecaster.

Maintained by Office of Budget and Trust Finance.

E.9.1.5 CHECK RECEIPTS APPLICATION

Program maintained in MS Access that maintains a listing of all checks returned from an individual for redeposit. Also this application contains information relative to the limited physical checks remitted by the Employers for ICI, Life Insurance, Health Insurance and ERA and includes the month of coverage for these programs. Also, this file contains participant data and amounts paid for those individuals who paid for Additional Contributions. Personal checks for accounts receivables are also listed in this application.

Maintained by Office of Budget and Trust Finance.

E.9.1.6 WISMART PROCESSING

Application consists of a number of spreadsheets containing data downloaded from the WiSMART system. The purpose of the application is to produce reports which will enable OBTF to:

1. Ensure all WiSMART transactions have come through
2. Allocate monies to the appropriate accounting strings
3. Assess late interest fee payments not received timely.

Maintained by Office of Budget and Trust Finance.

E.9.1.7 WiSMART PROCESSING – ACCOUNTS RECEIVABLE

There presently is a facility within WiSMART through which the various Accounts Receivable records are maintained by various departmental staff. This Accounts Receivable subsystem is maintained for WRS participant accounts receivable including those for single sums; ICI account receivables; and Qualified/Forfeited service receivables as well as other program receivables.

Maintained by various areas in ETF including: Office of Budget and Trust Finance, Division of Insurance Services, and Division of Retirement Services, Benefit Services Bureau.

E.9.2 WISCONSIN RETIREMENT SYSTEM (WRS)

E.9.2.1 WRS LOCKBOX TRANSACTIONS

This spreadsheet is maintained in MS Excel format and it contains data on WRS remittance transactions. Lock Box deposit data is entered and a spreadsheet is produced giving a listing, by deposit date, of all prior month's WRS lock box remittance transactions. List is used in the financial area for reconciliation purposes.

Maintained by Office of Budget and Trust Finance.

E.9.2.2 WRS ADDITIONAL CONTRIBUTIONS

MS Access database application which contains account data on participants who remit WRS additional contributions. A report is generated by calendar year from the database which includes individual as well as grand totals of additional contribution amounts, including detail on core/variable amounts. The report is used in the financial area for reconciliation purposes.

Maintained by Office of Budget and Trust Finance.

E.9.2.3 WRS EMPLOYER IDENTIFICATION NUMBER APPLICATION

This spreadsheet is maintained in MS Excel and lists all WRS active employers and contains employer descriptive data (EIN; Employer name, etc.). This matter list is used to produce several employer shells which are used by staff during the WRS annual employer reconciliation. These shells are used to monitor/control receipt of annuals, monitor status during reconciliation, report type of annual report, monitor Statement of Benefits (SOB) distribution by employers, record returned SOB's etc.

Maintained by Division of Retirement Services, Employer and Contact Services Bureau.

E.9.2.4 CERTIFICATION OF PRIOR SERVICE / SALARY RECORD (WR-1)

This application which is maintained in MS Word is used to produce the preprinted forms containing employer descriptive data which are forwarded to employers for completion when the employer has enrolled in the WRS. Upon return of these forms from the employer, the information completed by the employer is used to manually calculate prior service values, which are keyed into the Mass Enrollment program in WEBS.

Maintained by Division of Retirement Services, Employer and Contact Services Bureau.

E.9.2.5 NEW EMPLOYER LOGS

A spreadsheet application in MS Excel containing data on new employers to the WRS, health insurance, life insurance and income continuation insurance programs in any given year. A separate spreadsheet exists for each program, and reports are generated from these spreadsheets. These reports contain descriptive data information on the employer, coverage effective date, numbers of staff, etc. The reports are shared with all department bureaus/offices for information and reference purposes.

Maintained by Division of Retirement Services, Employer and Contract Services Bureau.

E.9.2.6 WRS SIMULTANEOUS SERVICE APPLICATIONS

This application is used to calculate how simultaneous service is to be split between teacher and non-teacher employment categories. Calendar and fiscal year data is entered and formulas are in place within the spreadsheet to allocate service to the appropriate category. Participant service amounts in WEBS are then updated with the results.

Maintained by Division of Retirement Services, Employer and Contact Services Bureau.

E.9.2.7 WRS OVER/UNDER BALANCES APPLICATION

This spreadsheet application maintained in MS Access contains data on outstanding WRS employer over/under balances. The application includes macro driven menus which enable easy data entry for the purposes of changing, adding and/or deleting over/under information for every applicable WRS employer. The application also contains print macros for generating the following: Detail Over/Under Listing; Summary Over/Under Notice; WRS Aged Accounts Receivables.

Maintained by Office of Budget and Trust Finance.

E.9.2.8 QUALIFIED/FORFEITED BUYBACK APPLICATION

An application maintained in MS Access that consists of entering descriptive data (SSN; DOB; transaction codes, purchase dates, purchase amounts, service amounts, etc.) on all qualified and forfeited WRS service buybacks. This control listing is then used to upload data to WEBS for participant account update and to extract/combine data to generate several statistical reports (weekly, monthly, year-to-date) used to reconcile deposits, monitor/control buyback audits, monitor buyback accounts receivables/payables, etc. This application consists of 36 files of which many contain macros.

Maintained by Office of Budget and Trust Finance.

E.9.2.9 FORFEITED & QUALIFIED SERVICE REFUNDS APPLICATION

An application maintained in MS Access that was developed during the Benson case for handling refunds in large numbers. Presently it is still used and contains participant descriptive data and the amounts refunded.

Maintained by Office of Budget and Trust Finance.

E.9.2.10 LATE REPORTING INTEREST DUE REMITTANCE PROCESSING

A spreadsheet application maintained in MS Word which contains data related to incoming payments resulting from late interest due notices sent to employers as a result of late remittance reporting for health, life, income continuation as well as WRS remittance reporting. On a quarterly basis, these payments are allocated to the appropriate accounting strings.

Maintained by Office of Budget and Trust Finance.

E.9.2.11 QUALIFIED DOMESTIC RELATIONS ORDER (QDRO) LOG

A spreadsheet application in MS Excel contains data on QDRO enrollments. A report generated from the spreadsheet contains 11 columns of information identifying the different stages of the QDRO process. The purpose of this report is to provide Office of Budget and Trust Finance (OBTF) and Division of Retirement Services (DRS) with up-to-date status information for use in responding to inquiries as well as for follow-up purposes.

Maintained by Office of Budget and Trust Finance.

E.9.2.12 QDRO SPLITS CHECKOUT SPREADSHEET

This application details the way an account should look after a QDRO split is processed. It is used to ensure accounts on WEBS are split correctly and that it reconciles with WEBS data. A copy goes into STEP2000 for each participant and alternate payee.

Maintained by Office of Budget and Trust Finance.

E.9.2.13 LATE REPORTING EARNINGS (LRE) ADJUSTMENT APPLICATION

The LRE application is maintained in MS Excel. This application calculates the contributions and interest due from or owed to the employee/employer for late reported earnings adjustments. There are four different LRE programs which generate an output document which is used to key the calculated data into WEBS at which time the data is updated to a participant's account. These LRE transactions are those which cannot currently be loaded through the WEBS LRE Batch Processor. These transactions consist mostly of transactions that are refunds which contain employee-paid Employer Required Contribution/Benefit Addition Contribution (ERC/BAC) monies, employee-paid only transactions, transactions shifting earnings from one year to another and employment category changes.

Maintained by Office of Budget and Trust Finance.

E.9.2.14 BENEFIT PROCESSING FEDERAL INCOME TAX CALCULATION PROGRAM

A program in MS Visual Basic that calculates non-taxable portion of annuities for participants age 74 and older. (Note – WEBS calculates this information for those under 74 but tables end at this age).

Maintained by Division of Retirement Service, Benefit Services Bureau.

E.9.3 HEALTH INSURANCE

E.9.3.1 ALTERNATE HEALTH CARRIERS PAYMENT SUMMARY

An application maintained in MS Access which is used to produce monthly summaries to be sent with individual checks to alternate health carriers.

Maintained by Office of Budget and Trust Finance.

E.9.3.2 HEALTH INSURANCE OPEN ENROLLMENT STATISTICS

This MS Excel spreadsheet application contains data entry and print macros in order to generate a report of annual open enrollment additions, deletions/net changes on the following reports: Dual-Choice Statistics by State Agency and Total Dual-Choice Statistics.

Maintained by Office of Budget and Trust Finance.

E.9.3.3 HEALTH INSURANCE PREMIUM QUALIFICATIONS

An application that is used to set qualifying health plan rates for each county.

Maintained by Division of Insurance Services.

E.9.3.4 HEALTH UTILIZATION DATA

This data file is populated by data received from the Health Maintenance Organizations (HMOs) and Preferred Provider Organizations (PPOs); it consists of aggregate data, not individual data, which is used by the actuary for rate negotiations.

Maintained by Division of Insurance Services.

E.9.3.5 SELF-INSURED HEALTH PLAN AND PHARMACY BENEFIT MANAGER (PBM) STATISTICAL REPORTS

These reports are generated from a report package on the Standard Plans and PBM claims and are used by Wisconsin Physician's Service (WPS), Navitus, Health Solutions, and ETF to produce reports and billing information.

Maintained by Division of Insurance Services.

E.9.3.6 HEALTH INSURANCE PREMIUM ESTIMATE – STATE EMPLOYEES

This program models effect of changes in premium contributions which are based on a spreadsheet that accounting does for estimated rates.

Maintained by Division of Insurance Services.

E.9.3.7 CATASTROPHIC CLAIMS DATA - HEALTH

This file is maintained of claims data at or above $100,000 received from health plans. This data is used as a support for the evaluation of health trends for large claims.

Maintained by Division of Insurance Services.

E.9.3.8 HEALTH PREMIUMS CALCULATION SPREADSHEET

Information is derived from HMO/PPO bids and is used to calculate the employee and employer paid portions based on certain criteria including the self-funded plans and PBM. This information is used in producing the annual It's Your Choice open enrollment booklets and to review different scenarios.

Maintained by Division of Insurance Services.

E.9.3.9 HEALTH CLAIMS ANALYSIS/CONTRACT SYSTEM AUDIT

Randomly sample claims payment data for subsequent audit tests. Perform trend and other types of analysis; used for contract compliance audits**.**

Maintained by Division of Insurance Services.

E.9.4 INCOME CONTINUATION INSURANCE (ICI)

E.9.4.1 ICI PREMIUM DATA ENTRY APPLICATION

An MS Excel application which is used to enter State and Local ICI premium reports. The application allows for automatic addressing using a macro. Another macro is then used to extract totals used to produce a premium calculation report which is forwarded to Financial/Actuarial Reporting who, in turn, issue premium payments from this report to the ICI TPA.

Maintained by Office of Budget and Trust Finance.

E.9.4.2 ICI CONTRACT LOG

An MS Excel spreadsheet application containing data on the number of ICI contracts by waiting period for each ICI employer. The spreadsheet is updated and quarterly reports are generated by waiting period for each employer and in summary by waiting period for all employers.

Maintained by Office of Budget and Trust Finance.

E.9.5 LIFE INSURANCE

E.9.5.1 PREMIUM PAYMENT/REPORTING SYSTEM FOR CONVERTED LIFE INSURANCE ACCOUNTS

This system was created and is maintained by Minnesota Mutual Life Insurance Company (MMLIC). It includes individual accounts of employees who elect conversion of life insurance to pay

health/long-term care insurance premiums; calculates premium amounts and generates required reports monthly to ETF.

Maintained by Minnesota Mutual Life Insurance Company.

E.9.5.2 LIFE INSURANCE PREMIUM DATA ENTRY APPLICATION

This MS Excel application is used to enter State Life Insurance premium reports. The application allows for automatic addressing using a macro. Another macro is then used to extract totals which are used to produce a premium calculation report which is forwarded to Financial/Actuarial Report. This report results in payment to the Life Insurance TPA.

Maintained by Office of Budget and Trust Finance.

E.9.6 EMPLOYEE REIMBURSEMENT ACCOUNT (ERA) PROGRAM

E.9.6.1 ERA ADMINISTRATION FEES

This MS Excel application consists of a spreadsheet which contains data on employer remitted ERA administration fees. From this spreadsheet, a report is generated on a monthly basis indicating the administration fee amount remitted by each State agency. This report also serves the purpose of monitoring to make sure all employers have remitted their monthly ERA fees.

Maintained by Office of Budget and Trust Finance.

E.9.7 ALL INSURANCES

E.9.7.1 ANNUAL INSURANCE TAPE

This is a system used to obtain statistical data on state and university employees participating in Life, ICI, and Health Insurance programs. MMLIC uses this information to compile statistical report and complete actuarial valuation to determine premium rates. Department of Administration (Central Payroll), UW System and Administration; and University Hospital Authority; provide information on magnetic tape and this information is then merged by ETF's DOIT staff.

Maintained by Office of Budget and Trust Finance.

E.9.7.2 PREMIUM DEPOSIT ROLL-UP APPLICATION

This MS Excel application is used to enter premium allocation reports in order to produce a monthly deposit report indicating insurance premium amounts (including ERA administrative fees deposited by Financial/Actuarial Reporting. There are two application files, one for state employers and one for local employers. Application includes highlighted areas to be keyed and automatically extracts totals. Another macro is then used to combine the extracts to produce the Monthly State and Local Deposit Roll-up reports.

Maintained by Office of Budget and Trust Finance.

E.9.8 DEFERRED COMPENSATION

E.9.8.1 WISCONSIN DEFERRED COMPENSATION PROGRAM RECORD-KEEPING SYSTEM – GREAT WEST RETIREMENT SERVICES

This system provides daily on-line valuation of participants' WDC accounts as well as the ability for participants to make changes to their deferral amounts, transfer funds between investment options and update their contact information and beneficiary designations. Records maintained for multiple investment options. Participants include state, university and other public sector employees. These employees do not need to participate in WRS in order to enroll in Deferred Compensation, however their employer must qualify as a public employer under Social Security in order to offer the WDC. Various reports are submitted monthly/quarterly/annually to DETF and personalized account statements and a newsletter are provided quarterly to participants either via paper or electronically.

Maintained by the WDC's contracted administrator on behalf of the Deferred Compensation Board, which is overseen by the Division of Retirement Services, Deferred Compensation Director.

E.9.8.2 SPREADSHEETS TO MONITOR SUBMITTED REPORTS AND PREPARE GRAPHICS PRESENTATION – DEFERRED COMPENSATION PROGRAM

Spreadsheets used to combine and monitor information submitted by contract administrator. Information also depicted in graphics format for presentation to Board and other interested parties.

Maintained by the Division of Retirement Services, Deferred Compensation Director.

E.9.9 ADMINISTRATION

E.9.9.1 MEMBER SERVICES PRODUCTIVITY STATISTICS

A program maintained that shows individual, unit and section output and productivity statistics monthly and by evaluation year, plus section output and productivity by six month and calendar year periods.

Maintained by Division of Retirement Services, Member Services Bureau.

E.9.9.2 TRAINING EVALUATION SPREADSHEETS

Multiple MS Excel spreadsheets used for recording the audited training results for members of staff new to various positions. These are the best record available of trainees' results and the quality of work produced by new hires.

Maintained by Division of Retirement Services.

E.9.9.3 MEMBER SERVICES BACKLOG STATISTICS

A program maintained that contains weekly reports for section backlog, broken down by transaction type. Includes current turn- around times for each transaction listed.

Maintained by Division of Retirement Services, Member Services Bureau.

E.9.9.4 FLEET SPREADSHEET

An MS Access database that contains the monthly usage for the ETF fleet cars.

Maintained by Division of Management Services, Office Services Bureau.

E.9.9.5 OFFICE SUPPLIES DATABASE

An MS Access database tracking of department office supply use and costs.

Maintained by Division of Management Services, Office Services Bureau.

E.9.9.6 FORMS MANAGEMENT DATABASE

An MS Access database tracking of ETF's forms inventory, form numbers, revision dates, status, printing & composition costs, and budget tracking.

Maintained by Division of Management Services, Office Services Bureau and the Office of Communications, Publications Editors.

E.9.9.7 POSTAGE BUDGET DATABASE

Database set up in MS Access that is used to track all of ETF's postage budget expenditures. Includes information on all major mailing, volume, and costs. It also tracks monthly postage budget needs and used for budget control & future planning.

Maintained by Division of Management Services, Office Services Bureau.

E.9.9.8 COPIER USE AND BUDGETING FILE

An MS Access database used to enter monthly copier readings to calculate volume usage, costs for supplies, to reconcile invoices, and for budgeting and planning purposes.

Maintained by Division of Management Services, Office Services Bureau.

E.9.9.9 LIBRARY BUDGET FILE

An MS Access database that contains the library budget for ETF.

Maintained by the Librarian.

E.9.9.10 PERSONNEL DATABASE

An MS Access database that contains ETF personnel data.

Maintained by Division of Management Services, Human Resources Team.

E.9.9.11 TRAINING BUDGET/HISTORY DATABASE

An MS Access database that contains the training budget and training history for all of ETF.

Maintained by Division of Management Services, Human Resources Team.

E.9.9.12 INVENTORY DATABASE

An MS Access database used for both non-data processing and data processing furniture and equipment inventory.

Maintained by Division of Management Services.

E.9.10 INTERNAL AUDIT PROGRAMS

E.9.10.1 INTERNAL CONTROLS REVIEW (2011-01)

The objective of this audit is to assess and evaluate identified risks and ensure that stated controls are in place, effective, and would mitigate known risks and deficiencies within the agency's operations. The review is essential in order for the Office of Internal Audit to be able to provide management a reasonable assurance that ETF's internal controls are functioning as designed. The scope of the audit, based on management control attributions, evaluated 72 primary controls.

The examination was conducted in accordance with guidelines set forth in the Institute of Internal Auditors' *International Standards for the Professional Practice of Internal Auditing*.

E.10 ETF WEB SITE MAP

The map below provides a complete picture of the static web map (as of mid-January 2013) that supports the services that ETF currently provides its members and employers over the web.

I. DEPARTMENT OF EMPLOYEE TRUST FUNDS (ETF) – WISCONSIN

- **A. CALCULATORS - ETF WISCONSIN**
  - **I. CALCULATOR DISCLAIMER - ETF WISCONSIN**
  - **II. ACCELERATED PAYMENT COST CALCULATOR DISCLAIMER - ETF WISCONSIN**
  - **III. FORFEITED SERVICE COST CALCULATOR - ETF WISCONSIN**
  - **IV. VARIABLE EXCESS/DEFICIENCY UPDATE CALCULATOR DISCLAIMER - ETF WISCONSIN**
- **B. PUBLICATIONS - ETF WISCONSIN**
  - **I. FORMS AND BROCHURES ALPHABETICALLY - ETF WISCONSIN**
  - **II. FORMS AND BROCHURES BY ET- NUMBER - ETF WISCONSIN**
  - **III. EMPLOYER FORMS - ETF WISCONSIN**
  - **IV. ERA FORMS AND BROCHURES - ETF WISCONSIN**
  - **V. INSURANCE FORMS AND BROCHURES - ETF WISCONSIN**
  - **VI. WRS FORMS AND BROCHURES - ETF WISCONSIN**
  - **VII. HTTP://ETF.WI.GOV/PUBLICATIONS/ET4107.PDF**
  - **VIII. HTTP://ETF.WI.GOV/PUBLICATIONS/ET2320.PDF**
  - **IX. HTTP://ETF.WI.GOV/PUBLICATIONS/ET2321.PDF**
  - **X. HTTP://ETF.WI.GOV/PUBLICATIONS/ET4207.PDF**
  - **XI. HTTP://ETF.WI.GOV/PUBLICATIONS/ET4117.PDF**
  - **XII. HTTP://ETF.WI.GOV/PUBLICATIONS/ET7282.PDF**
  - **XIII. HTTP://ETF.WI.GOV/PUBLICATIONS/ET4116.PDF**
  - **XIV. HTTP://ETF.WI.GOV/PUBLICATIONS/ET2119.PDF**
  - **XV. HTTP://ETF.WI.GOV/PUBLICATIONS/ET2301.PDF**
  - **XVI. HTTP://ETF.WI.GOV/PUBLICATIONS/ET7301.PDF**
  - **XVII. HTTP://ETF.WI.GOV/PUBLICATIONS/ET4133.PDF**
  - **XVIII. HTTP://ETF.WI.GOV/PUBLICATIONS/ET2106.PDF**
  - **XIX. HTTP://ETF.WI.GOV/PUBLICATIONS/ET4132.PDF**
  - **XX. GLOSSARY - ETF WISCONSIN**
  - **XXI. WISCONSIN DETF - DOMESTIC PARTNERS**
  - **XXII. WISCONSIN DETF - IT'S YOUR BENEFIT NEWSLETTERS**
  - **XXIII. WRS NEWS - ETF WISCONSIN**
  - **XXIV. HTTP://ETF.WI.GOV/PUBLICATIONS/ET8929.PDF**
  - **XXV. HTTP://ETF.WI.GOV/PUBLICATIONS/ET8940.PDF**
  - **XXVI. HTTP://ETF.WI.GOV/PUBLICATIONS/ET8904.PDF**

XXVII. HTTP://ETF.WI.GOV/PUBLICATIONS/ET8900.PDF
XXVIII. HTTP://ETF.WI.GOV/PUBLICATIONS/ET8902.PDF
XXIX. HTTP://ETF.WI.GOV/PUBLICATIONS/ET8903.PDF
XXX. HTTP://ETF.WI.GOV/PUBLICATIONS/ET8918.PDF
XXXI. HTTP://ETF.WI.GOV/PUBLICATIONS/ET8931.PDF
XXXII. HTTP://ETF.WI.GOV/PUBLICATIONS/ET8934.PDF
XXXIII. HTTP://ETF.WI.GOV/PUBLICATIONS/ET8933.PDF
XXXIV. HTTP://ETF.WI.GOV/PUBLICATIONS/ET8901.PDF
XXXV. ACTUARIAL STUDIES - ETF WISCONSIN
XXXVI. STATE OF WISCONSIN - DEPARTMENT OF EMPLOYEE TRUST FUNDS
XXXVII. HTTP://ETF.WI.GOV/NEWS/CEM_REPORT.PDF
XXXVIII. HTTP://ETF.WI.GOV/PUBLICATIONS/WRS-STUDY.PDF

C. NEWS - WISCONSIN ETF
  I. ABANDONED WRS ACCOUNTS - ETF WISCONSIN
  II. WISCONSIN DETF - ABANDONED LIFE INSURANCE CLAIMS
  III. HTTP://ETF.WI.GOV/NEWS/CEM_FACT_SHEET.PDF
  IV. ACT 10 AND ACT 32 MENU - ETF WISCONSIN
  V. HTTP://ETF.WI.GOV/NEWS/SUMMARY_ACT_28.PDF
  VI. WISCONSIN DETF - 1999 WISCONSIN ACT 11
  VII. CURRENT NEWS - ETF WISCONSIN

D. ABOUT - ETF WISCONSIN
  I. ETF BOARD - ETF WISCONSIN
  II. WISCONSIN RETIREMENT BOARD - ETF WISCONSIN
  III. TEACHERS RETIREMENT BOARD - ETF WISCONSIN
  IV. GIB BOARDS - ETF WISCONSIN
  V. DEFERRED COMPENSATION BOARD - ETF WISCONSIN
  VI. DIVISION SUMMARIES - ETF WISCONSIN
  VII. ORGANIZATION CHART - ETF WISCONSIN
  VIII. HTTP://ETF.WI.GOV/ABOUT/2010_STRATEGIC_PLAN.PDF
  IX. HTTP://ETF.WI.GOV/ABOUT/VALUE_STATEMENT.PDF
  X. HTTP://ETF.WI.GOV/ABOUT/2013-15-BIENNIAL-BUDGET.PDF

E. FAQ - ETF WISCONSIN
  I. COMMUTER BENEFIT FAQS - ETF WISCONSIN
  II. DEFERRED COMPENSATION FAQS - ETF WISCONSIN
  III. EMPLOYEE REIMBURSEMENT ACCOUNT FAQS - ETF WISCONSIN
  IV. GROUP HEALTH INSURANCE FAQS - ETF WISCONSIN
  V. GROUP LIFE INSURANCE FAQS - ETF WISCONSIN
  VI. BENEFICIARIES FAQS - ETF WISCONSIN

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VIII. WISCONSIN RETIREMENT SYSTEM FAQS - ETF WISCONSIN

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I. STATE OF WISCONSIN - DEPARTMENT OF EMPLOYEE TRUST FUNDS
II. HTTP://ETF.WI.GOV/IMAGES/MADMAP.PDF

G. SITE MAP - ETF WISCONSIN
I. NEWS ARCHIVE - ETF WISCONSIN
II. EMPLOYER BENEFIT PROGRAMS - ETF WISCONSIN
III. WRS ADMINISTRATION MANUAL - ETF WISCONSIN

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I. VIDEO LIBRARY TECHNICAL REQUIREMENTS - ETF WISCONSIN

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XVII. HTTP://ETF.WI.GOV/NEWS/MILITARY-ACT10-32FAQ.PDF
XVIII. LEAVING WRS EMPLOYMENT BEFORE RETIREMENT AGE (SEPARATION) - ETF WISCONSIN
XIX. WISCONSIN DETF - RETIREMENT PLANNING CHECKLIST
XX. HOW TO RETIRE - REQUEST YOUR BENEFIT ESTIMATES AND APPLICATION - ETF WISCONSIN
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I. WISCONSIN DETF - DIVIDENDS & RETURNS
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VII. HTTP://ETF.WI.GOV/PUBLICATIONS/ET2313.PDF
VIII. HTTP://ETF.WI.GOV/PUBLICATIONS/ET4310.PDF
IX. HTTP://ETF.WI.GOV/PUBLICATIONS/ET4307.PDF
X. HTTP://ETF.WI.GOV/PUBLICATIONS/ET6101.PDF
XI. HTTP://ETF.WI.GOV/PUBLICATIONS/ET4925.PDF
XII. HTTP://ETF.WI.GOV/PUBLICATIONS/ET2124.PDF
XIII. OTHER INSURANCE (STATE RETIREE) - ETF WISCONSIN
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XV. HTTP://ETF.WI.GOV/RETIREES/FED_TAX_TABLE_SINGLE.PDF
XVI. HTTP://ETF.WI.GOV/RETIREES/FED_TAX_TABLE_MARRIED.PDF
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I. ANNUAL REPORTING - ETF WISCONSIN
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VIII. WRS CONTRIBUTION RATE HISTORY - ETF WISCONSIN
IX. STATE EMPLOYER BULLETINS - ETF WISCONSIN
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- III. BENEFITS FOR STATE EMPLOYEES ETF WISCONSIN
- IV. EQUAL EMPLOYMENT OPPORTUNITY & AFFIRMATIVE ACTION POLICY - ETF WISCONSIN

O. ETF WISCONSIN - PRESENTATION MAP

- I. EAST CENTRAL WRS PRESENTATIONS - ETF WISCONSIN
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- VI. NORTHWEST WRS PRESENTATIONS - ETF WISCONSIN
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- VIII. SOUTH CENTRAL WRS PRESENTATIONS - ETF WISCONSIN
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Q. PRIVACY - ETF WISCONSIN

- I. PRIVACY (HIPAA) - ETF WISCONSIN
- II. PRIVACY INFORMATION - ETF WISCONSIN

R. ACCESSIBILITY - ETF WISCONSIN

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T. ETF OFFICES CLOSED - ETF WISCONSIN

U. PRELIMINARY RATES/ADJUSTMENTS - ETF WISCONSIN

V. REHIRED ANNUITANTS AUDIT - ETF WISCONSIN

W. SWIB ON NEWSMAKERS

X. DEFERRED COMPENSATION PRESENTATIONS - ETF WISCONSIN

- I. 2013 CONTRIBUTION RATES - ETF WISCONSIN

Y. ONLINE RETIREMENT ESTIMATE REQUEST - ETF WISCONSIN

Z. WAIT TIMES - ETF WISCONSIN

AA. WISCONSIN DETF - HOT TOPIC

- I. HTTP://ETF.WI.GOV/NEWS/HT-20120302-PRESS-RELEASE.PDF
- II. HTTP://ETF.WI.GOV/NEWS/HT-20120302-LETTER-TO-RETIREES.PDF
- III. HTTP://ETF.WI.GOV/NEWS/WHEN_SHOULD_I_RETIRE.PDF
- IV. WISCONSIN DETF - HOT TOPIC
- V. HTTP://ETF.WI.GOV/NEWS/VARIABLE_FUND_FAQ.PDF
- VI. HTTP://ETF.WI.GOV/PUBLICATIONS/ET4930.PDF
- VII. HTTP://ETF.WI.GOV/PUBLICATIONS/ET2356.PDF

E.11 E-PAYMENT SERVICES TECHNICAL OVERVIEW

State of Wisconsin
e-Payment Services

E-Payment Services Technical Overview

Preface:

For those interested in a basic technical understanding of the e-payment process, this document provides an overview of e-payment services provided by the State of Wisconsin through its contract with US Bank. For those who require precise knowledge of how these services are implemented, 'A Developer's Guide to E-Payment Services', provides more detailed information.

Note: For Internal E-Payment Applications need to be self-signed cert.
For External E-Payment Applications need to be veri-sign cert.

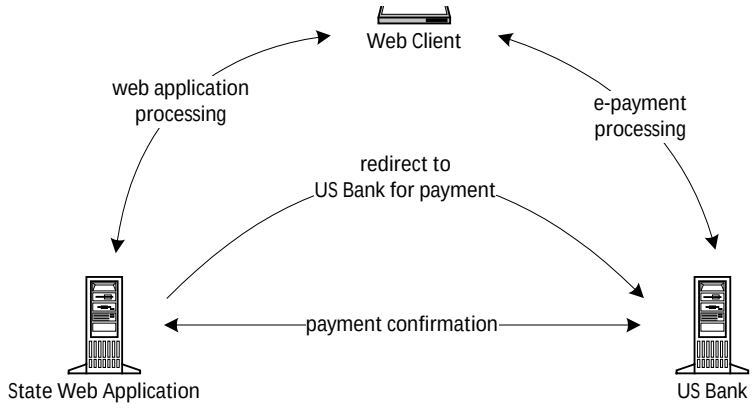
E-Payment Services and US Bank:

The State of Wisconsin's contract with US Bank describes four technical models that may be used to implement electronic payment services. To date, support for one, the co-hosted model, is in place and is currently used by state agencies for online credit card and/or ACH payment collection. It is anticipated that the sizable majority of state applications requiring e-payment services will implement this co-hosted solution.

How the Co-Hosted Model Works:

Under the co-hosted model, payment information collection and processing are hosted entirely by US Bank. Remaining web application content is developed and hosted by the state. State web applications using e-payment services prepare a web transaction for payment and forward the customer's web browser to US Bank's site along with all parameters required for payment processing. Upon completion of payment, US Bank allows the customer to return to the originating web application and sends a real-time payment confirmation message (RTPC) to the web application itself, informing it that payment has occurred. In this way, the web application may determine its response to the customer based on whether payment has been made successfully.(Figure 24). These conversations occur over HTTP or HTTPS at the discretion of each State web application.

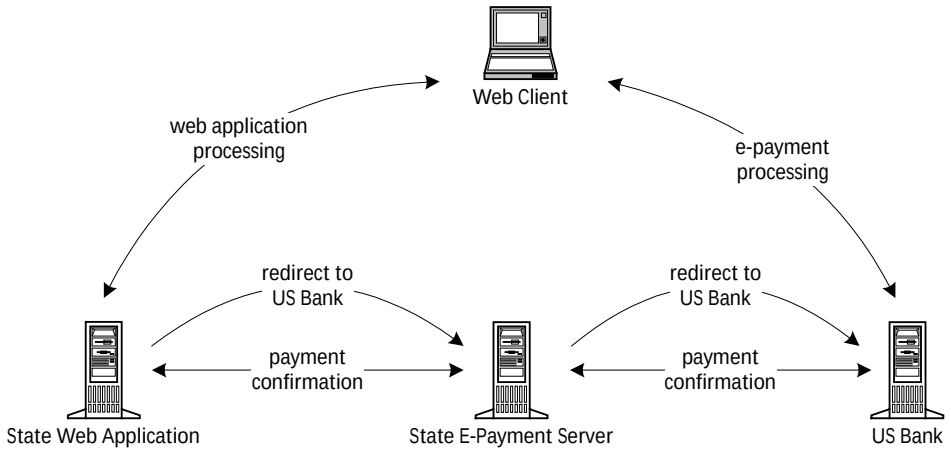
Figure 24 The Co-Hosted Model



Managing Technical Dependencies w/ US Bank: A State E-Payment Server:

In anticipation of the large number of state applications that will use e-payment services under the US Bank contract, DET has implemented an e-payment proxy server to manage technical dependencies with US Bank and reduce the effort required to implement its services. Under this architecture, the State's web applications interact with the State's e-payment server rather than directly coupling to US Bank. In return, the state server handles redirect routing to US Bank, RTPC message routing & conversation management, firewall configuration, monitoring, and centralized support procedures. The e-payment proxy server is deployed in a multi-server environment behind redundant L4 switches that mange load balancing and provide fail-over support.

Figure 25 The Co-Hosted Model w/ State E-Payment Server



Transaction Processing and the Co-Hosted Model:

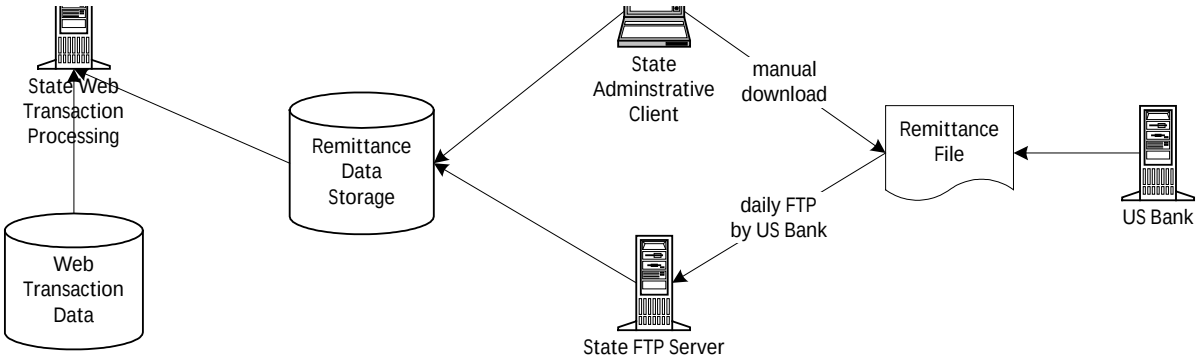
Transactions for which payments have been received may need to be processed as a part of a larger system. In this case, transactions for which payments have been received must be distinguished from those that haven't; there are two ways this can be accomplished. System developers must choose which method best suits their requirements and resources.

1) RTPC: As previously mentioned, RTPC messages can be used to allow web applications to respond to users based on whether payment has been made successfully. Using real time payment confirmation messages to identify paid records for transaction processing is a second purpose and has the advantage of supporting real-time processing of transactions as they occur throughout the day. This method is also simple to implement. The receiving web application updates records corresponding to received RTPC messages as paid for further processing or future extraction.

   Though convenient and highly reliable, RTPC messages are susceptible to occasional failure due to the vagaries of network and application processing. In the rare case of such a failure, recovery is relatively straightforward but is a manual process.

2) Remittance File: A Remittance file can be considered the master record of payment activity; therefore using it to determine paid records has the advantage of optimal accuracy. In this approach, the remittance file is used as a control file, with a separate process extracting or updating web transaction records as paid as they are found in the remittance file. Remittance files maybe be pulled manually from US Bank through web-based administrative interfaces or be sent by US Bank via a scheduled FTP process to an FTP server located at the State(Figure 26).

Figure 26 Remittance File Transmission



Though highly accurate, remittance file data is only available once every 24 hours, with each file containing a record of paid-for transactions for the previous day; thus preventing the real-time processing of web transactions. Though significant additional effort might be required to implement, this approach benefits from optimal accuracy and therefore requires minimal support.

For More Information:

For more detailed information regarding the implementation specifics of the co-hosted model, please see the 'Developer's Guide to E-Payment Services'. Information regarding the e-payment implementation process and financial issues related to e-payment services is also available.

E.12 OVERPAYMENT RECOVERY POLICY AND PROCESS

APPROVED OCTOBER 2012

Employee Trust Fund (ETF) administered benefits can be overpaid for a variety of reasons. These reasons include, but are not limited to: receipt of other benefits that should have been offset from the ETF administered benefit, incorrect reporting from the participant or employer, reinstatement to state service, etc. ETF has the authority and obligation to pursue collection of these overpayments under Wis. Stats. 40.08.

ETF has not had a consistent process for recovery of overpayments. Each area may or may not actively pursue collection. If collection is pursued, a variety of methods are used. Interest is also inconsistently applied to outstanding overpayment balances. The result is inequitable treatment of our participants and not fully pursuing recovery. The current status of ETF overpayments can be found in Attachment A "Accounts Receivable Counts as of 6/29/2012."

A committee (names of committee members removed) initially met to discuss the need for an ETF policy & process. Subsequently, subcommittees were formed to work on this project and develop a policy & process for the larger committee to review. The following policy and procedures are a result of this effort.

A one-year pilot project began on April 1, 2011. After that period, the policy was evaluated and revised based on lessons learned over the course of the year. ETF's Leadership Team approved the Overpayment Recovery Policy and Process at its October 22, 2012 meeting.

Please note that the ETF Overpayment Recovery Policy and Process is still being evaluated by the Division of Insurance Services (DIS) for applicability in claims overpayment recovery for both the self-insured medical benefits provided by WPS (Standard Plan, Medicare Plus and SMP) and the prescription drug benefits provided by Navitus Health Solutions. In both instances DIS has historically delegated the responsibility of benefit/claim overpayment to the third party administrator contracted to administer the respective program. DIS will continue to evaluate the policy and process, and look for ways to incorporate it with, or replace, current recovery practices.

POLICY

ETF will actively and consistently pursue all overpaid benefits using one of three recovery processes. The appropriate process is determined based on the status of the recipient: Annuitant, Death, All Others (see attached processes & corresponding letters).

Interest: Interest will not be assessed until 180 days after the date of the overpayment notification letter. Interest will then be assessed until the overpayment is paid in full.

Exceptions to the interest policy may be considered on a case-by-case basis. Bureau Directors and above will have discretion under the *ETF Settlement Authority for Managers and Supervisors Policy* to waive interest in cases where extenuating circumstances warrant such an action in order to resolve complaints or appeals at the most appropriate level. Authority for waiving interest is based on Wis. Stat. ss. 40.01 (1) and (2), concerning the purposes of the public employee trust fund, ss. 40.03 (2) (m), (v) and (w), regarding the Secretary's settlement authority, and s. 40.08 (4), concerning voluntary repayment by the participant, retention of payments, and assessment of interest.

General criteria to consider will include:

- ETF's role in the situation that resulted in the overpayment. In general, this discretion is reserved for those situations where ETF failed the member by making an error, not providing timely or accurate information, etc.
- The length of time over which the situation that resulted in the overpayment has continued. In general, the longer the period of time that has elapsed since the situation occurred, the more likely that this discretion may be warranted.
- The amount of the overpayment. In general, the greater the overpayment, the more likely that this discretion may be warranted.
- Other extenuating circumstances

This discretion is limited to the waiving of interest only. Any discussions or requests by the member for a compromise, to reduce the overpayment or settle for a lesser amount, etc. must be referred to the Special Consultant to the Deputy Secretary for resolution. Once approved, interest will not accrue as long as the member continues to make the agreed upon payments within the agreed upon timeframe(s). If the member fails to comply with the agreement, interest will immediately begin to accrue on the unpaid balance.

Information pertaining to a decision to waive interest (such as the date of the decision, participant's name, criteria upon which the waiver was based, a brief description of the situation, and the name of the person who made the decision) will be forwarded to the Office of Legal Services which will maintain a record of such decisions. The record will have a format similar to the following and will be distributed to managers on a monthly basis:

FILE #	STATUS	MEMBER LAST NAME	MEMBER FIRST NAME	CATEGORY OF OVERPAYMENT	DATE ETF RECEIVED MEMBER REQUEST	DATE REQUEST APPROVED	MANAGER WHO APPROVED REQUEST	CRITERIA FOR APPROVING REQUEST	BRIEF DESCRIPTION OF SITUATION

When preparing the monthly record, the General Counsel will contact the Special Consultant to the Deputy Secretary as well as the appropriate manager to clarify any questions that may exist.

Payment Amount: The amount of the payment will be determined based on the chart below. If a participant requests reduced payments (hardship), the program area will determine a reduced amount based on discussions with the participant. Life insurance, death benefit, amount in WRS account, age of participant, etc. will all be taken into consideration for hardship cases. In other words, is there a future means for recovery? (Note: See exceptions for lump sums and death benefits under s. 40.08(7)(a).) If multiple overpayments exist for a participant, undesignated payments will be applied to the oldest receivable first. Participants will receive monthly statements showing the current overpayment balance including any payments made and interest assessed since the prior month's statement. These statements provide consistent periodic notifcations to the member detailing how their balance is increasing due to monthly interest assessed.

OVERPAYMENT AMOUNT	MONTHLY PAYMENT
Less than $2.00	Do not pursue
$2.00 - $100.00	Total amount of overpayment
$100.00 - $999.99	$100.00
$1,000.00 - $1,999.99	$150.00

OVERPAYMENT AMOUNT	MONTHLY PAYMENT
$2,000.00 - $2,999.99	$175.00
$3,000.00 - $3,999.99	$200.00
$4,000.00 - $4,999.99	$225.00
$5,000.00 - $5,999.99	$250.00
$6,000.00 - $6,999.99	$275.00
$7,000.00 - $8,999.99	$300.00
$9,000.00 - $10,999.99	$325.00
$11,000.00 - $12,999.99	$350.00
$13,000.00 - $14,999.99	$375.00
$15,000.00 - $16,999.99	$400.00
$17,000.00 - $18,999.99	$425.00
$19,000.00 - $20,999.99	$450.00
$21,000.00 - $22,999.99	$475.00
$23,000.00 - $24,999.99	$500.00
$25,000.00 – Up	2% of initial overpayment amount

Department of Revenue (DOR): ETF has established an agreement and data exchange with DOR to utilize their State Debt Collection Initiative http://www.revenue.wi.gov/html/debcoll4.pdf and to utilize DOR for collection efforts rather than contracting with a collection agency. Accounts must be more than 90 days overdue with no active negotiations or payment plans in place (or more than 90 days since the last payment) before we can refer to DOR. A referral notice or "warning letter" must be sent to the debtor at least 30 days prior to the referral (see sample letter, ET-2951, on page 20). Do not refer overpayments of deceased participants. (DOR will not recover from estates.) We can refer overpayments even if the participant has a WRS account.

It is very important that once an account is referred to DOR, ETF does not independently pursue further collection efforts. For receivables referred to DOR, participant questions relating to the collection efforts being made on the debt should be referred to DOR at 608-266-7879 or e-mail at delnqtax@revenue.wi.gov. Any questions relating to the cause or nature of the debt should be answered by ETF.

Accounting has set up a spreadsheet for each area to use. Accounts that have been referred are identified on a receivable inquiry screen with a flag.

Bankruptcies: ETF will continue to refer bankruptcy cases to DOJ through the Secretary's Office designee. It should be noted here that in bankruptcy situations it is permissible to continue with collection efforts in cases where the attempted recoupment is being made via a reduction in a continuing benefit of the same type.

Minnesota Life: Minnesota Life will be notified of and handle recovery of all overpayments as it currently does for disability overpayments (see below).

- ETF (or its Third Party Administrator) will immediately notify Minnesota Life of the possible overpayment and to not pay the life insurance.
- ETF/TPA will then calculate the overpayment and notify Minnesota Life and the recipient's estate/beneficiary. Note: If Minnesota Life does not receive the overpayment calculation with 28 days of the notice (above), it will pay the life insurance.
- Minnesota Life will deduct the applicable amount and send it to ETF's Office of Trust Finance and Data Analysis. Minnesota Life will then pay remaining (if any) life insurance to recipient's estate/beneficiary.

The following procedures shall be in place for processing of death notices:

- ETF will attempt recoveries of resulting overpayments and flag the death notice with a note requesting the MLIC claim be held for 28 days
- During the 28 day period, procedures require monitoring of outstanding receivables by ETF and communication between ETF and MLIC to assure the most efficient processing of receivables and life insurance proceeds
- ETF will not ask MLIC to hold a payment longer than 28 days. If the receivable is still outstanding MLIC will produce a check to ETF satisfying the receivable and pay the remaining proceeds to the life insurance beneficiaries. If the receivable had been previously satisfied, MLIC will pay out the full proceeds to the life insurance beneficiaries.
- When, due to timing issues, funds are recovered by both ETF and a payment from MLIC, the last payment received toward the recovery must be returned.

Write-Offs: All overpayments (and underpayments) will be written off per ss. 40.08(7). Overpayments that have been uncollectible for two years shall be written off. (Note: This is only if we have no other present or future means of recovery – see processes attached). DOR will attempt to collect debts for a period of 5 years after which they will be referred back to ETF and be written off unless an inactive Wisconsin Retirement Account balance exists (See "Recovery From an Inactive WRS Account" below).

Wage Action: We currently utilize "wage action" through DOA (State employers on Central Payroll) for Disability overpayments. We sent DOA a courtesy email letting them know we will pursue wage actions directly with employers for all the benefits we administer. State employers on central payroll may then decide to utilize DOA or pay ETF directly. We do not anticipate a large increase in DOA's workload as the majority of overpayments will not be for working individuals. Employers were notified via email of our new policy/process.

Cases Referred to DOJ: Cases of fraud or greater than $10,000 will be considered on a case by case basis for referral to DOJ. DOJ will be instructed to contact us when recovery costs are greater than 50% of the overpayment amount. The Secretary's Office designee will monitor DOJ costs for cases referred to DOJ.

Recovery From an Inactive WRS Account: We do not have statutory authority to recover from an inactive WRS Account. We must wait until an application for benefits has been filed.

Claims Against an Estate: ETF can bring a court action against an estate. There is a $3 fee for filing claims against estates which can be added to the amount of the claim. Filing deadlines do apply. Local rules and fees may apply. To be cost effective, ETF will not file a claim against an estate for overpayments under $500. Claims over $500 will be referred to ETF Legal Services.

LETTERS

While it is desirable to maintain consistency from member to member in communicating receivable information, in some situations it may be beneficial to modify or add language to individual letters to more accurately inform the member of the nature and history of a receivable. As an example, if a person already has a existing receivable and another receivable is being set up, it may be helpful to provide such information to the member. In these types of cases it is possible to adjust the letters as considered necessary to fully communicate the issue to the member.

Individual letters must be signed by a specific ETF employee and have that individual's telephone number listed as the call back number.

Outgoing letters will be imaged (drop file) in Step2000. Incoming letters (returned from participants) will also be imaged (first unit route). If an incoming letter has a check attached, both check and letter will be sent to the Controller's Office. The Controller's Office will post the check and forward the letter to the appropriate program area for processing/imaging.

ON GOING POLICY REVIEW

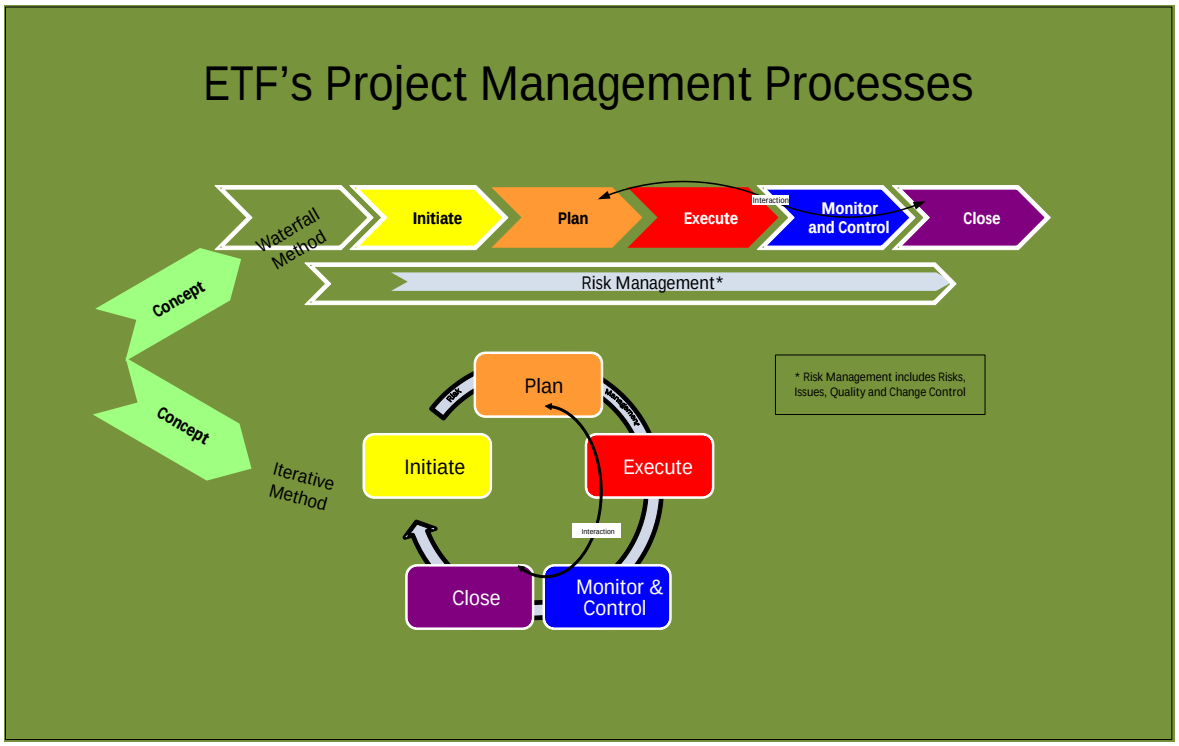
In an effort to identify the effects of this policy and provide information supporting any changes needed to the policy, certain information on receivables will be periodically gathered and analyzed. To best determine account receivable trending, this information will be gathered and analyzed semiannually. This information will be used to determine the effectiveness of specific policy procedures as well as the overall policy itself. Possible information to gather and analyze includes the following:

- Total number of receivables outstanding by type
- Total amount of receivables outstanding by type
- Total amount of interest assessed by type
- Average time receivables are outstanding by type
- Amounts collected by collection method by type.

E.13 OVERVIEW OF ETF'S PROJECT MANAGEMENT METHODOLOGY

ETF's Project Management methodology is based on the Project Management Institute's Body of Knowledge (PMI BOK) and customized to fit ETF's situation and specific needs. There are six general processes in that Project Management Methodology (PMM), most of which are applicable to most of ETF's projects, most of the time. Some project activities, such as Risk Management, are applied across all project processes. As can be seen from the diagram below, there is no intent to require one specific software development life cycle (SDLC) methodology within ETF's PMM. We do believe that the six general processes apply regardless of whether the SDLC is a waterfall model or iterative. The six concepts (or processes) are described in the sections that follow.

Figure 27 The Processes in ETF's Project Management Methodology



E.13.1 THE CONCEPT PROCESS

- A Concept Document is used to launch the Concept Process
- The Concept Document outlines an idea for improving services or for fixing a problem
- Anyone can submit a Concept File

E.13.2 THE INITIATE PROCESS

- If a Concept is approved, a Project is "initiated"

- The major activity in the Initiate Processes is the development of the Project Charter which develops or adds detail for the:
  - Justification and objectives of the project, its success criteria and expected outcomes
  - Project scope, timeframe and major milestones
  - Stakeholders and communication plan, etc.
- The Project Manager, sponsor and key stakeholders work together to expand the Concept's detail, creating the Charter

E.13.3 THE PLANNING PROCESS

- Three key products are created in the Planning Process:
  - The Project Management Plan that defines how project processes will be governed
  - The Work Breakdown Structure that defines all project deliverables and resource needs
  - The Project Schedule that defines the timeframe

E.13.4 THE EXECUTE PROCESS

- The project's products and deliverables are created in the Execute Process
- The Project Manager and Team conduct the work activities according to the plans
- The Project manager tracks the project's progress and manages project with assistance from the Sponsor

E.13.5 THE MONITOR AND CONTROL PROCESSES

- The Monitor and Control Processes interact with the other PM processes
- Project Manager manages and controls scope, schedule, risks, and resources
- The product or service is tested
- Sign-off on project deliverables and products are obtained
- Established criteria are used to determine if the project is complete

E.13.6 THE CLOSE PROCESS

- The Project Manager and Sponsor sign-off on the project
- The Project Manager and Sponsor close the project and document Lessons Learned
- The Project manager makes final updates to the Project Plans and releases resources
- Completion of the project is recognized

E.14 ETF SECURITY POLICY – LOGGING

LOGGING

Revised: 4/11/2012
Approved by DGSC: 4/11/2012

Statement of Policy

Log files that are required by the Department of Employee Trust Funds (ETF) will adhere to standard practices defined in the procedures below. At a minimum, logging will be required for data classified as protected or private.

Rationale

ETF benefits data are important agency resources and assets. Log data will assist with problem resolution efforts, auditing work, and system restore operations. It will also be invaluable to system penetration attack investigations and fraud investigations. By standardizing minimum logging requirements, ETF can be better equipped to make decisions on how to configure systems. This policy will help with multi-operating system intrusion detection and prevention systems. Note that the logging approach specified in this policy can be captured by nearly any generally available operating system and application.

Definitions

Log – A computer record that maintains information defined for that particular system.

Roles & Responsibilities

Information Owner – Individual or entity who:

1. Assures that the systems and data they are responsible for comply with Data Quality and Security & Privacy Policies; and
2. Provides final authority and decision making with respect to the systems and data for which they are responsible.

General Logging Procedure Guidelines

Information owners assigned to draft written procedures should be subject-matter experts for the specific system requiring logging.

The Office of Internal Audit will provide a non-audit service of reviewing draft procedures and providing feedback on known best practices. Also, the Office

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makes no recommendation, nor accepts responsibility for management policies or procedures, because management is responsible for its policies and procedures.

Information owners will be responsible for drafting written procedures for logging based on these Procedure Guidelines:

- The log contains sufficient information to establish what events occurred, the sources of the events, and the outcomes of the events.
- ETF allocates sufficient storage capacity and configures logging to prevent such capacity being exceeded.
- In the event the log cannot be written or storage capacity has been reached, the information system alerts appropriate personnel and takes one of the following additional actions: shutdown information system, overwrite oldest log, or stop generating logs.
- The information system provides a report generation capability.
- The information system provides the capability to automatically process log records for events of interest based upon selectable event criteria.
- The information system protects log information and analysis tools from unauthorized access, modification, and deletion.
- The information system provides timestamps for use in log generation.
- ETF retains logs for a minimum of 6 years, or as defined by Retention/Disposition Authorization (RDA) requirements, to provide support for after-the-fact investigations of security incidents and to meet regulatory and agency information retention requirements.
- Validate log settings for each system, ensuring that logs include a date, timestamp, user ID if available, source addresses, destination addresses, and various other useful elements of each packet or transaction. Systems will record logs in a standardized format. If systems cannot generate logs in a standardized format, deploy log normalization tools to convert logs into a standardized format.
- Operating systems will be configured to log access control events associated with a user attempting to access a resource without the appropriate permissions.
- Security personnel and system administrators will run routine reports that identify anomalies in logs. They will actively review the anomalies, documenting their findings.
- Each agency network will include at least two synchronized time sources, from which all servers and network equipment retrieve time information on a regular basis, so that timestamps in logs are consistent.

- Network boundary devices, including firewalls, network-based intrusion protection systems (IPS), and inbound and outbound proxies will be configured to record detailed information (that is, use the option to log verbosely) all traffic (both allowed and blocked) arriving at the device.
- All remote access to an internal network, whether through virtual private network (VPN), dial-up, or other mechanism, will be logged verbosely.

Revision History

Date	Revision #	Comments
4/11/2012	V1.0	Initial policy

E.15 ETF SECURITY POLICY – AUDITING

AUDITING

Revised: 4/11/2012
Approved by DGSC: 4/11/2012

Statement of Policy

All production application systems that handle protected and private data of the Department of Employee Trust Funds (ETF) must, at a minimum, generate logs that capture every inquiry, addition, modification, and deletion to such information. The log events need to be audited and acted upon according to system specifications, regulations, and applicable statutes.

Rationale

Auditing capabilities are required under HIPAA and will also be very helpful when attempting to investigate and correct problems like errors and potential misappropriation of funds. Auditing capabilities will also assist staff doing routine and benign investigations of the use of resources. Use of risk management frameworks such as the Committee of Sponsoring Organizations (COSO), model best practices and can assist in determining appropriate audit scope and depth.

Definitions

Information Security –Protecting and preserving the confidentiality, integrity, authenticity, availability, and reliability of information.
Security Event – The security of an information system, service, or network may have been breached or compromised and an information security policy may have been violated or a safeguard may have failed.
Security Audit – Checking the efficiency of methods used to secure information systems and data, including whether the information security is adequate and whether there have been any security events.

Roles & Responsibilities

Information Owner – Individual or entity who:

1. Assures that the systems and data they are responsible for comply with Data Quality and Security & Privacy Policies; and
2. Provides final authority and decision making with respect to the systems and data for which they are responsible.

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AUDITING

Revised: 4/11/2012
Approved by DGSC: 4/11/2012

Scope

This policy requires the ability to account for all access to protected and private information like insurance data, retirement enrollment and eligibility data, personnel records, and other benefit data. For example, the insurance database must have an associated log that shows who accessed or updated the enrollment data and when. At a minimum, this policy applies to all protected and private data produced and maintained by ETF. The policy applies regardless of the form the data takes or the medium in which the data is stored. Because specific application systems are subject to change, this policy indicates the types of applications that should have associated logs or audit trails and does not name them. The log data elements will need to be determined on a case-by-case basis, and are not mentioned in the policy. See related Logging and Data Classification policies.

General Audit Procedure Guidelines

Information owners assigned to draft written procedures should be subject-matter experts.

> *The Office of Internal Audit will provide a non-audit service of reviewing draft procedures and providing feedback on known best practices. Also, the Office makes no recommendation, nor accepts responsibility for management policies or procedures, because management is responsible for its policies and procedures.*

<u>Information owners will be responsible for drafting written procedures for audit logging based on these Procedure Guidelines:</u>

- ETF will regularly review and analyze logs for indications of inappropriate or unusual activity, investigate suspicious activity or suspected violations of ETF work rules and state and federal law, report findings to appropriate officials, and take necessary actions.
- ETF will periodically test the audit analysis process by creating controlled, benign events in logs and monitoring devices and measuring the amount of time that passes before the events are discovered and action is taken. ETF will ensure that a trusted person is in place to coordinate activities between the incident response team and the personnel conducting such tests.
- ETF will deploy a Security Event and Information Management (SEIM) system tool for log aggregation and consolidation from multiple machines and

for log correlation and analysis. ETF will deploy and monitor standard scripts for analysis of the logs, as well as using customized local scripts.

- ETF will establish and follow a process for revoking system access by disabling accounts immediately upon termination of an employee or contractor.
- ETF will monitor network and mainframe login account usage to determine dormant accounts that have not been used for 30 days, notifying the user or user's manager of the dormancy. If the user is on temporary leave, ETF will temporarily disable the account. If the user is not expected to return to ETF, the account will be disabled.
- On a periodic basis, ETF will require that managers match active employees and contractors with each account belonging to their managed staff. If a manager discovers an account that is not assigned to an active employee or contractor, that manager will report the account to security or system administrators who will disable those accounts. ETF will monitor attempts to access deactivated accounts through audit logging.

Revision History

Date	Revision #	Comments
4/11/2012	V1.0	Initial policy

E.16 ETF SECURITY POLICY – DATA CLASSIFICATION

DATA CLASSIFICATION

Revised: 1/30/2012
Approved by DGSC: 2/14/2012

Statement of Policy

Department of Employee Trust Funds (ETF) data must be regularly reviewed and classified as outlined in this policy according to use, sensitivity, importance to ETF, and compliance with state and federal laws.

Rationale

Classification of data according to sensitivity is essential for ensuring that ETF applies the appropriate degree of protection to the data ETF maintains. Data used by ETF often contains detailed information about ETF participants. The protection of such information is driven by a variety of considerations, including legal, financial, and business requirements. This policy provides a framework for the classification of agency data to ensure its privacy and security.

Scope

This policy applies to all data produced and maintained by ETF. The policy applies regardless of the form the data takes or the medium in which the data is stored. Some examples of items covered under this policy are:

- Electronic records stored in ETF systems and in portable media;
- Information maintained by ETF in paper forms, reports, and other documents.

Examples of items not covered by this policy, but covered under other security policies regarding assets, are:

- ETF's facilities and telecommunications equipment;
- Server/network hardware, workstations.

Specifications

ETF will use the following classifications:

Public – Information that is not protected or private. Information classified as public has no state, federal, or international legal restrictions on access. Additionally, risk of unintended disclosure would be of low to no risk to ETF. There may occasionally be a policy reason to restrict certain access.
Examples: effective interest rates, insurance premiums, mortality rates, unfunded liability balances, benefit estimate wait times

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DATA CLASSIFICATION

Revised: 1/30/2012
Approved by DGSC: 2/14/2012

Protected – Information that can be viewed and used by ETF employees and authorized third parties for official business purposes. Disclosure of this information to unauthorized parties carries some risk to participants and ETF, both financial and reputational.
Examples: member address, annual earnings, creditable service, benefit rights codes, employment information, controlled correspondence

Private - Information restricted to a specific subset of ETF employees and authorized third parties based on policies, statutes or state or federal regulations. This includes information that may be provided to the subject of the information or an authorized third party. Information for which an Information Owner has determined access will be classified as private. Unintended disclosure could require mitigation, reporting, possible fines, harm to the agency, participants and other third-parties.Information that is classified as private if unintentionally disclosed would carry significant risk to ETF.
Examples: medical record documents, social security number, financial account numbers, any information or data that is unique to, assigned to, or belongs to an individual and that is intended to be used to access services, funds, or benefits of any kind to which the individual is entitled. Any information that can be associated with a particular individual through one or more identifiers.

Note: The definitions provided for the classifications listed above do not supersede the Wisconsin Public Records law, ss. 19.21 through 19.39, Wis. Stats., or any other state or federal authority regarding open or closed records such as s. 230.13, Wis. Stats., however the definitions may include information protected by Wis. Stats. s. 40.07.

Roles & Responsibilities

Data Custodian - Individuals who need and use agency data on a daily basis as part of their assigned employment duties or functions:

- Must be familiar with the agency's data governance and classification structure.
- Must comply with this policy and related standards, guidelines, and procedures issued by ETF in support of this policy.

DATA CLASSIFICATION

Revised: 1/30/2012
Approved by DGSC: 2/14/2012

Data Steward - An individual or entity assigned by an Information Owner to facilitate the interpretation and implementation of Data policies and guidelines. These individuals are responsible for ensuring these policies are being met.

Data stewards participate with Information Owners, business staff, IT data administration staff, application development teams, and knowledgeable departmental staff on projects creating, maintaining, and using agency data.

Information Owner – Individual or entity who provides assurance (for the ETF data for which they are responsible) that the data complies with Data Quality and Security & Privacy Policies as well as providing final authority and decision making with respect to the data.

In addition, these owners are responsible for mitigating risks and issues associated with this data and addressing remediation plans to minimize impact and exposure for ETF and any third parties who may be impacted. This responsibility may be delegated to Data Stewards.

The agency's data should be organized by the area responsible for it. Every piece of data owned, used, or maintained by the agency must have one or more Information Owners identified in the event that questions concerning access and availability arise. Information Owners must designate a Data Steward for their administrative unit.

Information Owners must implement appropriate managerial, operational, physical, and technical safeguards for access to, use of, transmission of, and disposal of ETF data. Private data are considered the most sensitive and require the highest level of protection. This policy provides examples of safeguards. However, Information Owners may implement procedures more restrictive than the ones identified in this policy. Owners may delegate enforcement of these procedures to Data Stewards.

Data Handling

General Safeguards for All Data

1. Using the categories Public, Protected and Private, Information Owners must classify all ETF data as soon as possible after the creation or acceptance of ownership by ETF.

DATA CLASSIFICATION

Revised: 1/30/2012
Approved by DGSC: 2/14/2012

2. Following initial classification, ETF data must remain classified at the initial level or reclassified as needed due to changes in usage, sensitivities, law or other relevant circumstances.
3. Classifications assigned to ETF data must be reviewed at least once every three (3) years by the Information Owner and reclassified based on changing usage, sensitivities, law, or other relevant circumstances.
4. Data must be protected in accordance with the security controls specified for the classification level that it is assigned.
5. The classification level and associated protection of replicated data must remain consistent with the original data [e.g. (i) confidential HR data copied to a CD-ROM, or other removable-media (e.g. flash drive), or from one server to another, retains its confidential classification; (ii) printed copies of Private Data is also classified Private].
6. Any physical or logical collection of data, stored, in transit, or during electronic transfer (e.g. file, database, emails and attachments, filing cabinet, backup media, electronic memory devices, sensitive operation logs or configuration files) containing differing classification levels must be classified as a whole at the highest data classification level within the collection. Any data subset that has been separated from any such collection must be protected in accordance with the protection specified for the classification level of the data subset if assigned; otherwise the data subset retains the classification level of the original collection and requires the same degree of protection.
7. Destruction of data (electronic or physical) or systems storing data must be done in accordance with ETF's Records Management Program.
8. Before systems or media are reused they should be erased according to ETF guidelines to ensure no residual data remains on the systems or media.

Revision History

Date	Revision #	Comments
1/30/2012	V1.0	Initial policy

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E.17 ETF SECURITY POLICY – COMPUTER AND INFORMATION SECURITY INCIDENT RESPONSE

Computer and Information Security Incident Response

Revised: 12/18/2012
Approved by DMS Administrator: 12/18/2012

Statement of Policy

This policy defines the ways that Employee Trust Funds (ETF) employees, and other third parties doing work for ETF, must respond to a computer and information security incident. The policy defines relevant responsibilities and provides general management instructions defining how to respond to incidents. The policy acknowledges that a quick, effective, practiced, and orderly response is a critical determinant of an incident's outcome. The underlying motivation for this policy is to help assure that ETF information systems continue to be trustworthy, available, and reliable.

Scope

This policy applies to all ETF workers with access to computing resources including employees, contractors, and business partners.

Definitions

A computer and information security incident is any information systems related event involving a violation of the law, or a violation of ETF security policy, including but not limited to Employee Handbook policies, privacy policies, and other information technology policies. Such an incident may alternatively involve any significant disruption of ETF production information systems, or any information systems related event that could seriously harm the security or privacy of ETF data or technology infrastructure. Examples of computer and information security incidents include hacker intrusions, virus infestations, website defacements, and denial of service attacks.

Designated Incident Coordinator – person identified by Information Security Management to immediately respond to computer and information security incidents.

Incidental Access – security incident where there is no risk of loss or disclosure of information or information systems and the incident is immediately remedied.

Information Security Management – Bureau of Information Technology Services (BITS) Deputy Director and BITS Director/CIO designated to oversee, review, and manage SIRT and incident response.

SIRT –Security Incident Response Team.

Computer and Information Security Incident Response

Revised: 12/18/2012
Approved by DMS Administrator: 12/18/2012

USER RESPONSIBILITIES

Scope of Duties

Users must not attempt to deal with computer and information security incidents without expert technical assistance. Technical responses to computer and information security incidents must be handled exclusively by Information Security Department staff, the ETF Security Incident Response Team (SIRT), or others who have been authorized by ETF Information Security Management.

Identifying and Reporting Incidents

All ETF workers have a duty to report computer and information security incidents to the Help Desk on a timely basis so that prompt remedial action may be taken.

In the course of doing their work, if workers come across information security alerts, warnings, descriptions of suspected vulnerabilities, and the like, they should be forwarded to the Help Desk, and they will in turn be sent to the Designated Incident Coordinator. For security and privacy reasons, users are prohibited from forwarding this information to other users, whether the other users are internal or external to ETF.

In general, all unusual or suspicious information security-related events, or where fraud is suspected, must be promptly reported. These events include, but are not limited to:

- loss or theft of computer systems, devices, or media, where it is both reasonable to believe that private information was present at the time of loss and reasonable to believe that unauthorized persons could access that information (e.g., the information was not encrypted);
- intrusion by malware or other unauthorized access via the network into computer systems or devices, where it is reasonable to believe that sensitive information was accessed by unauthorized persons;
- unauthorized entry into offices or work areas, where it is reasonable to believe that private information was accessed by unauthorized persons; and
- any other circumstances where it is reasonable to believe that private information may have been accessed by unauthorized persons.

Unauthorized disclosures of private ETF information, or private information belonging to a third party that has been entrusted to ETF, should also be reported via the Help Desk. The reporter should be cognizant of privacy concerns and not send private information through email.

Under this policy, it is not necessary to report "incidental access" by employees or other trusted persons where no harm is likely to result. There may be additional policies or reporting requirements for special types of data, e.g., HIPAA Protected Health Information (PHI). These policies are located in the legal folder on FRED, or here: http://staff.etf.state.wi.us/legal/hipaa_policies.htm.

Workers who discover a weakness or vulnerability in the information security measures used by ETF must not discuss these matters with anyone other than the Designated Incident Coordinator, Information Security Management, the Director – Office of Internal Audit, their supervisor, or trained investigators designated by one of these managers. Open discussion of these weaknesses or vulnerabilities may lead to their exploitation by unauthorized parties. An exception of course is provided those who are authorized to work directly on information security matters.

Failure to report as required may result in loss of access to ETF information resources, or disciplinary action up to and including termination of employment.

Reporting Procedure

1. **Retain evidence:**

   a. In the event of theft or physical intrusion, do not disturb any physical evidence, and *immediately contact the Facility Manager. If the Facility Manager is not available contact your supervisor or Capitol Police if it's after hours or an emergency.*

   b. Do not use or turnoff any related computer or device, or dispose of any related media.

2. **To report a possible information incident:**

   a. If the incident involves theft or physical intrusion *immediately contact the Facility Manager. If the Facility Manager is not available contact your supervisor or Capital Police.*

Emergency: Dial 911 from any phone.

ETF Facilities: (608) 261-8167 or (608) 261-8161

Capital Police non-emergency: (608) 266-7700

b. In all other cases contact the ETF Help Desk at (608) 264-8333 or email helpdesk@etf.state.wi.us. Provide as much detail as practical, without including private information.

Privacy and Protection of Workers Reporting Incidents

Any attempt to interfere with, prevent, obstruct, or dissuade ETF workers in their efforts to report a suspected computer and information security incident, where fraud is suspected, problem or violation is strictly prohibited. Any form of retaliation against an individual reporting computer and information security incidents, problems, or violations is also prohibited. See Sections 230.80-85 of the Wisconsin Statutes regarding Whistleblower Law.

ETF will protect workers who in good faith report, through the communications channels mentioned in this policy, what they believe to be incidents, violations, or problems. If a reasonable period of time has elapsed since their first report, and these workers believe that no action is being taken about an on-going serious condition, then they must report the problem to their immediate manager or the Director – Office of Internal Audit. Before they make this second report, workers must give ETF technical specialists a reasonable period of time to remedy the situation.

Workers who report a computer and information security incident, violation, or problem within ETF may, at their sole discretion, have their identity held in strict confidence. This means that the whistleblower's identity will be shielded in all subsequent uses of the information, including investigations and resolutions of the matter. An exception to this shielding must be made in those cases where a government agency, such as a court of law, requires the disclosure of the whistleblower's identity.

Computer and Information Security Incident Response

Revised: 12/18/2012
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SECURITY INCIDENT RESPONSE TEAM RESPONSIBILITIES

Scope of Duties

A Security Incident Response Team (SIRT) is a group of skilled information technology specialists who have been designated as the ones to take action in response to reports of computer and information security incidents. A SIRT is like a fire brigade that mobilizes to put out a fire. The SIRT's responsibility is strictly limited to incident response.

SIRT is responsible for preparing, maintaining, and periodically testing response procedures to a variety of computer and information security incidents including denial of service attacks, hacker intrusions, frauds, and virus infestations. These procedures must include procedures to gather evidence so that subsequent criminal investigations may effectively be conducted, and to preserve this evidence so that it can be admissible in court. These procedures must of course document how to reestablish a trusted computing environment, as well as procedures to document the events so that post-mortem analyses can be performed, and also so that insurance claims may readily be filed.

Team Membership

Individual members of a SIRT will be drawn from multiple areas at ETF. Members must be cross-trained in a variety of areas in order to be able to immediately perform technical tasks needed by an incident response effort. The SIRT is coordinated and managed by Information Security Management.

Documentation

Log of Security Incidents – SIRT is responsible for maintaining a log and archive of all reportable security incidents including: the date, affected information system, type of data affected (if any), number of subjects, summary of the reason for the intrusion, and the corrective measure(s) taken. Any security incidents involving sensitive personally identifiable information will be so identified in order to implement the relevant HIPAA security procedures. These policies are located in the legal folder on FRED, or here: http://staff.etf.state.wi.us/legal/hipaa_policies.htm.

Critical Incident Report – SIRT is responsible for issuing a Critical Incident Report for every reportable security incident affecting critical information systems or data, or other priority incidents in the judgment of SIRT, describing in detail the circumstances that led to the incident and the plan to eliminate the risk.

Annual Summary Report – SIRT is responsible for issuing an annual report providing statistics and summary-level information about all significant incidents reported and recommendations and plans to mitigate known risks to the ETF Leadership Team.

Compliance

Notification – Computer and information security incidents shall be reported to the Privacy Officer in the Office of Policy, Privacy, and Compliance to identify and manage compliance concerns.

Verification – SIRT and the Office of Policy, Privacy, and Compliance will verify any known computer and information security incidents as having been reported and documented as required by any federal and state law; for example, compliance with reporting requirements under HIPAA. These policies are located in the legal folder on FRED, or here: http://staff.etf.state.wi.us/legal/hipaa_policies.htm.

Remedy – The Office of Policy, Privacy, and Compliance will ensure that any reporting and other compliance requirements are followed.

DESIGNATED INCIDENT COORDINATOR RESPONSIBILITIES

Scope of Duties

Responses to all computer and information security incidents will be managed by a Designated Incident Coordinator. Reports about incidents, violations, and problems may come from people or automated systems such as an intrusion detection system. The current Designated Incident Coordinator will be identified by Information Security Management.

The Designated Incident Coordinator is responsible for determining whether an incident actually occurred, the severity of the incident, and the urgency of the response based on the level of risk associated with it.

The Designated Incident Coordinator is additionally responsible for escalating the incident response effort to Information Security Management. The Designated Incident Coordinator, after obtaining approval from Information Security Management, is also responsible for determining when to involve Legal Services, Office of Policy, Privacy and Compliance, Human Resources, and Information Technology vendors. All

decisions about the involvement of law enforcement personnel must be made by Information Security Management in consultation with Legal Services and the Office of Policy, Privacy and Compliance.

The Designated Incident Coordinator will determine whether the SIRT needs to be mobilized, as well as the nature of the response, if any, which will be undertaken. The Designated Incident Coordinator has the authority to order the immediate shut down of production information systems, including internal networks, if this is deemed necessary in order to protect ETF interests, or those interests of workers, members, or business partners. The Designated Incident Coordinator must undertake this shut down only when absolutely necessary, and agreed upon with Information Security Management and the Chief Information Officer. Similarly, Information Security Management and the Chief Information Officer will decide when these production information systems may once again resume normal operations.

OTHER TECHNICAL STAFF RESPONSIBILITIES

Investigations only by Authorized Personnel

ETF internal investigations of computer and information security incidents, violations, and problems, must in all instances be conducted only by trained staff members who have been expressly authorized to do this work by Information Security Management. The primary staff to perform this work will come from the SIRT.

Network Staff

The ETF network staff must be trained to be able to discern what incidents, violations, and problems need immediate attention, as well as able to issue computer and information security incident notices. These staff members must also be able to recognize various types of information systems attacks in progress, and also work with both network management systems and intrusion detection systems.

System Administrators

Systems administrators have several critical roles associated with the response to and prevention of computer and information security incidents. Systems administrators are required to accept, and immediately act upon, all incident response related instructions coming from the Designated Incident Coordinator. To prevent incidents from happening in the first place, systems administrators are also required to configure the systems they manage so that they conform to security best practices. System administrators must

review all significant information security vulnerability advisories, including software patches and fixes, issued by trusted organizations to determine whether these advisories could affect any production ETF information systems or networks.

Other Information Technology Team Members

Like systems administrators, those members of Information Technology who work in the areas of computer operations, network management, systems programming, or systems development may occasionally be called upon to assist in the response to incidents, even if they are not official members of the SIRT.

Restricted Communication about Technical Work in Progress

ETF workers must immediately report every request to participate in an information security investigation external to ETF to Legal Services. Any sort of cooperation with the requesting third party is prohibited until such time that Legal Services and Information Security Management have together determined that the participation is legal, is unlikely to cause problems for ETF, and is indeed requested by an authorized party.

INFORMATION SECURITY RESPONSIBILITIES

Scope Of Duties

Incident response efforts, because they are a subset of information security efforts, are managed exclusively by Information Security Management. Only those individuals expressly designated by Information Security Management, including members of the SIRT, may participate in incident response efforts. In a broader context, the roles and responsibilities for both information systems contingency planning and information systems recovery must be reviewed and updated annually by Information Security Management.

Independent Review of SIRT

As part of an information security risk assessment process, Information Security Management must assess the preparedness and adequacy of the SIRT.

Testing of Response Procedures

Information Security staff must test and revise a call tree indicating every available telephone number for every worker involved in information systems-related contingency

planning, as well as disaster and emergency response. Members of the SIRT will be a part of this call tree.

Information Security must utilize simulated incidents to mobilize and test the adequacy of the SIRT and be coordinated with the Deputy Agency Continuity Manager. These simulated incidents must occur on an irregular and unannounced basis in order to better reflect real-world circumstances.

GUIDANCE TO STAFF RESPONDING TO INCIDENTS

Keeping Response Communications Secure

Unless expressly approved in advance by the Designated Incident Coordinator, details about investigations of information system intrusions that may be still underway must not be sent via electronic mail. Likewise, to prevent such information from falling into the hands of intruders, files which describe an investigation now underway must not be stored on potentially compromised systems or anywhere on a related network where they could be reasonably expected to be viewed by intruders.

Issuing Warning Messages To Attackers

A stern cease and desist message must be sent to the source of all attacks mounted against ETF computers or networks whenever the source or intermediate relay points can be identified. Prior to their issuance, these messages must be crafted in consultation with Legal Services and Information Security Management.

Notifying Third Parties about Possible Problems

If an information systems security breach at ETF causes private or proprietary third party information to be exposed, then these same third parties must be promptly notified so that they can take appropriate action. All such external notification efforts must be approved by both Information Security Management and Legal Services.

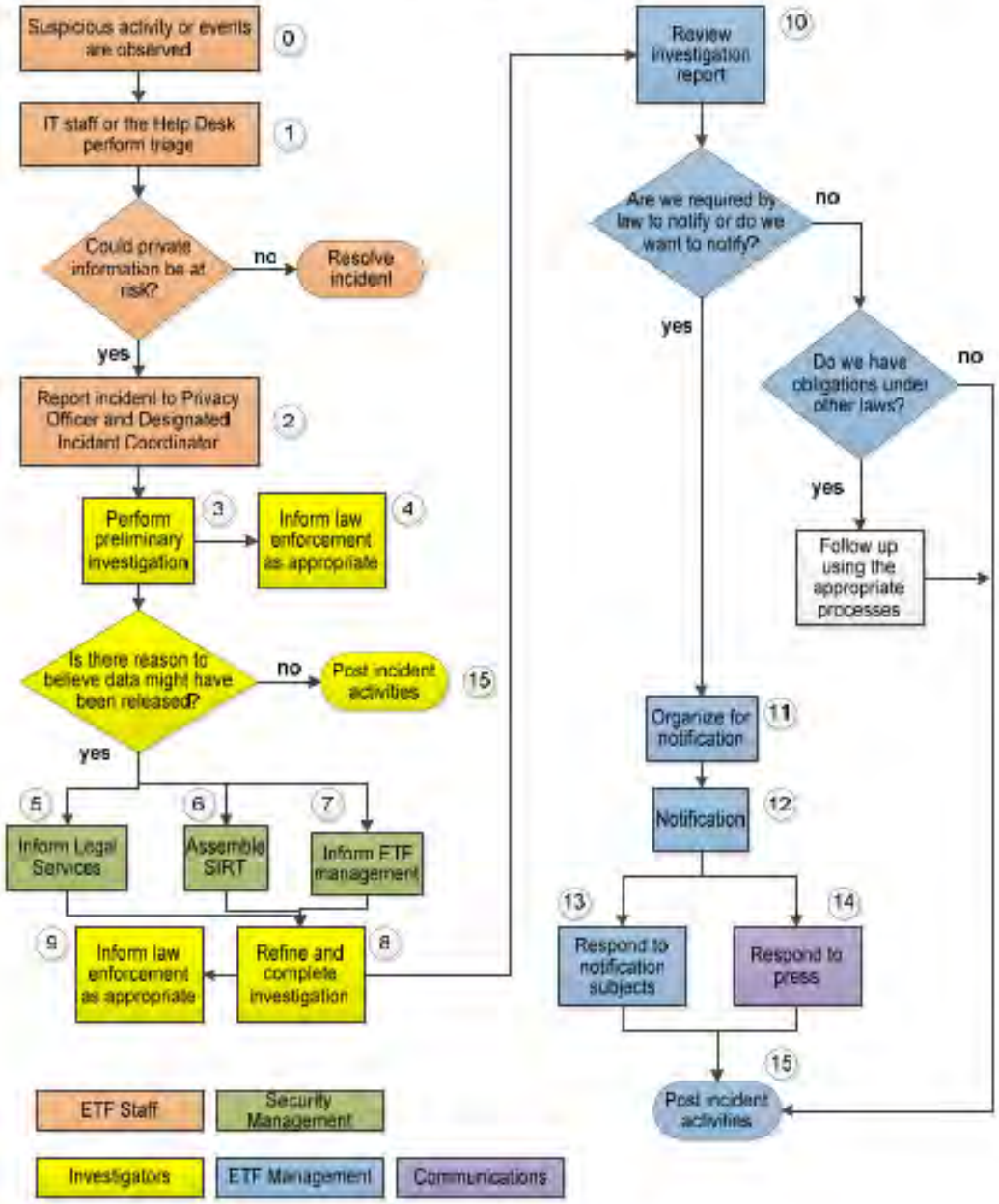
Exceptions

Information Security management acknowledges that under rare circumstances, certain workers will need to employ systems or processes that are not compliant with security policies. All such instances must be approved in writing and in advance by Information Security management.

Computer and Information Security Incident Response

Revised: 12/18/2012
Approved by DMS Administrator: 12/18/2012

ETF Computer and Information Security Incident Reporting and Response Flowchart



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Computer and Information Security Incident Response

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Revision History

Date	Revision #	Comments
12/18/2012	V1.0	Initial policy

E.18 CONTINUITY OF OPERATIONS (COOP) – MASTER RECOVERY TIME OBJECTIVES BUSINESS PRIORITIES

The information below provides ETF's critical business service Recovery Time Objective (RTO) timeframes along with the system dependencies for each of the critical business functions identified. The critical functions listed are not prioritized within each recovery time period. Total number of Assigned COOP staff is 85 (this includes Command Staff and all Recovery Teams). The Business Service recovery time objective (RTO) is the period of time following a major disruption within which a critical business service must be operational to continue meeting ETF's mission.

The RTO priorities presented in the Table below were determined by ETF subject matter experts based on following assumptions:

- The Badger Road building is inaccessible and COOP has been activated
- DOA's Division of Enterprise Technology is operable
- USPS mail delivery is continuous
- IT staff are available

Table 89 ETF's Critical Business Service RTOs

CRITICAL FUNCTIONS	SYSTEM DEPENDENCIES	RECOVERY TIME OBJECTIVE
CCA Functional/Receive Calls	BPS/Lump Sum	24-48 hours
	Step 2000/Content Manager	24-48 hours
	WEBS	24-48 hours
	One System /Online Network HP and	24-48 hours
	CCA	24-48 hours
	FRED/Intranet	24-48 hours
Respond to Member E-mail	WEBS	24-48 hours
	BPS/Lump Sum	24-48 hours
	Step 2000/Content Manager	24-48 hours
Processing Incoming Mail	WEBS	24-48 hours
	BPS Lump Sum	24-48 hours
	Step 2000/Content Manager	24-48 hours
Communications (email/fax)	E-mail/MFD's	24-48 hours
Employee Assistance Program		24-48 hours
Emergency Procurement	E-mail	24-48 hours
Courier Services		24-48 hours
Correct Employer Health Insurance Errors	One System /Online Network HP and Admin.	24-48 hours

CRITICAL FUNCTIONS	SYSTEM DEPENDENCIES	RECOVERY TIME OBJECTIVE
	CCA	24-48 hours
	E-mail	24-48 hours
Health Insurance Eligibility/Enrollment Reports to Health Plans	One System /Online Network HP and Admin.	24-48 hours
	File Drive	24-48 hours
Member Entries into MEB	myETF Benefits (members)	24-48 hours
	One System /Online Network HP and Admin.	24-48 hours
Employee Entries into MEB	myETF Benefits	24-48 hours
	One System /Online Network HP and Admin.	24-48 hours
ETF Staff Entries into MEB	myETF Benefits	24-48 hours
	One System /Online Network HP and Admin.	24-48 hours
E R Communications (ER Communications Center, ER Bulletins)	E-mail	24-48 hours
	File Drive	24-48 hours
Annuitant Health Insurance Svcs -Prescriptions	Step 2000/Content Manager	24-48 hours
	One System /Online Network HP and Admin.	24-48 hours
Pay Annuity Benefits (last week of month)	BPS/Lump Sum	24-48 hours
		24-28 hours
Monthly Annuity Payroll (runs between 16th and 20th of each month)	E-mail	24-48 hours
	BPS/Lump Sum	24-48 hours
Coordination of Disability Benefits	E-mail	week 1
	WEBS	week 1
	Step 2000/Content Manager	week 1
	BPS/Lump Sum	week 1
	FRED/Intranet	week 1
	File Drive	week 1

CRITICAL FUNCTIONS	SYSTEM DEPENDENCIES	RECOVERY TIME OBJECTIVE
Meet w/Public, Small Groups	WEBS	week 1
	BPS/Lump Sum	week 1
	Step 2000/Content Manager	week 1
Outgoing Mail		week 1
Employee Payroll (ETF)	E-mail (Mainframe and PTA Web)	week 1
Imaging/Workflow	Step 2000/Content Manager	week 1
	InputAccel Scan subsystem	
Pay Health Insurance Claims	File Drive	week 1
	E-mail	week 1
Process Beneficiary Designations	WEBS	week 1
	Step 2000/Content Manager	week 1
	BPS/Lump Sum	week 1
	File Drive	week 1
	FRED/Intranet	week 1
Collect Health Insurance Premiums (to employers, myETF Benefits invoice generation and maintenance)	One System /Online Network HP and Admin.	week 1
Processing New Disability Claims	Fax line/MFD's	week 1
	E-mail	week 1
	File Server	week 1
	Step 2000/Content Manager	week 1
	FRED/Intranet	week 1
	WEBS	week 1
	One System /Online Network HP and Admin.	week 1
New Monthly Annuity Pmts.	Step 2000/Content Manager	week 1
	WEBS	week 1
	BPS/Lump Sum	week 1
	IVR	week 1
Annuitant Health Insurance Svcs (Prescriptions)	One System /Online Network HP and Admin.	week 1
	Step 2000/Content Manager	week 1

CRITICAL FUNCTIONS	SYSTEM DEPENDENCIES	RECOVERY TIME OBJECTIVE
Disability Pmts to Members continuation	BPS/Lump Sum	week 1
Pay Health Ins. Carriers	One System /Online Network HP and Admin.	week 1
Produce Retirement Estimates	WEBS	week 2
	Step 2000/Content Manager	
Compliance w/State and Fed requirements for Benefit Plans (privacy, COBRA notices, etc.)	E-mail	week 2
	File Drive	week 2
Process Beneficiary Designations (death benefits, responding to rejected claims)	WEBS	week 2
	Step 2000/Content Manager	week 2
	BPS/Lump Sum	week 2
	File Drive	week 2
	FRED/Intranet	week 2
New Health Insurance Enrollments	One System /Online Network HP and Admin.	week 2
	myETF Benefits	week 2
	FRED/Intranet	week 2
New Life Insurance Enrollments	Step 2000/Content Manager	week 2
	WEBS	week 2
New ICI Enrollments	Step 2000/Content Manager	week 2
	WEBS	week 2
Weekly Benefit Payroll	E-mail	week 2
	BPS/Lump Sum	week 2
New Weekly Lump Sum Benefit Pmts.	BPS/Lump Sum	week 2
	WEBS	week 2
	Step 2000/Content Manager	week 2
Collect Retirement Contributions	One System /Online Network HP and Admin.	week 2
	WEBS	week 2
Invoice Payments for Procurement	E-mail	week 3

CRITICAL FUNCTIONS	SYSTEM DEPENDENCIES	RECOVERY TIME OBJECTIVE
Process ER Transactions	E-mail	week 3
	WEBS	week 3
	One System /Online Network HP and Admin.	week 3
COBRA Processing (Health Ins. Continuation)	Step 2000/Content Manager	week 3
Receive Employer Premiums (Life, Health, ICI)	One System /Online Network HP and Admin.	week 3
Disability Payments (New Recipients)	Fax Line/MFD's	week 3
	File Drive	week 3
	WEBS	week 3
	Step 2000/Content Manager	week 3
	FRED/Intranet	week 3
	BPS/Lump Sum	
Health Ins Premiums to Plans	File Drive	week 3
Life Ins Premiums to MLIC	File Drive	week 3
ICI Premiums to Aetna	One System	week 3
Produce Non-Annuitant Death Estimates	WEBS	week 4
	Step 2000/Content Manager	week 4
Produce Annuitant Death Estimates	BPS/Lump Sum	week 4
	Step 2000/Content Manager	week 4
	File Drive	week 4
Recruitment Activity (HR)	File Drive	week 4
	FRED/Intranet	week 4
Benefit Insurance Complaints	FRED/Intranet	week 4

In addition, depending on the time of failure, there are some cyclical priority functions and dependencies as shown in the following table.

Table 90 Cyclical Business Service RTOs

RECOVERY TIME OBJECTIVE	CRITICAL FUNCTIONS	SYSTEM DEPENDENCIES
January/February		
Week 1	Tax Reporting Year End	File Drive
		BPS/ Lump Sum
Week 2	Annual Processing for Duty Disability Recipients	WEBS
		E-mail
		File Drive
		BPS/Lump Sum
		Step 2000
Week 4	Annual Processing	One System
		WEBS
		File Drive
		FRED/Intranet
	Retired Lives Actuarial Valuation (determine annuity adjustments)	BPS
March/April		
Week 4	Annual Processing	WEBS
		One System
		File Drive
		FRED/Intranet
May/June		
Week 2	Annual Processing for Duty Disability Recipients	WEBS
		E-mail
		File Drive
		BPS/Lump Sum
Week 4	Active Lives Actuarial Valuation (set contribution rates)	WEBS
July/August		
Week 2	"It's Your Choice" materials production	E-mail
		File Drive
September/October		
Week 2	"It's Your Choice" open enrollment changes	myETF Benefits (members)
		One System /Online Network HP and Admin.

RECOVERY TIME OBJECTIVE	CRITICAL FUNCTIONS	SYSTEM DEPENDENCIES
Week 4	Employer Program Option Change / Health and Resolution to Withdraw	One System /Online Network HP and Admin.
		WEBS
		File Drive
	New Employer Resolutions: Insurance (October 1)	One System /Online Network HP and Admin.
		WEBS
		File Drive
November/December		
Week 2	E R Resolutions (WRS 11/15)	WEBS, File Drive

E.19 WORKFLOW SUB-SYSTEM TECHNICAL FOUNDATION

The Workflow engine should be able to (vendor should confirm and/or identify and discourse on exceptions):

1. Manage and support the following event types:
   - Create, Retrieve, Update, Reject or Delete a work unit
   - Status Changes (may or may not include routing)
   - Approval Activity (to include approved, declined, need more information etc.)
   - Notifications
   - eSignatures (associated with statements of certification, recognition of review or receipt, document management etc.)
   - Batch Processes (Example: Social Security Administration Death Match Process- a batch process would be used to compare information and conduct a reconciliation process on a routine basis. A batch of deceased dates would be extracted to create work units in the workflow tool).
2. Handle triggers (for each event type listed above):
   - Scheduled (specified date/time)
   - Time based intervals (window of time from an event or from a scheduled trigger)
   - Condition based (i.e. a threshold reached)
   - Manually launched
   - Launch another workflow and or be launched by another workflow
3. Routing options:
   - Simultaneous routing path (may include approvals) where the triggers and events are not dependent upon each other until they reach a common event
   - Simultaneous routing path (may include approvals) where the triggers or events are dependent upon each other.
   - Conditional - Routing path to be defined by event or work unit attributes.
   - Ad-Hoc - Ability to escalate or re-route, add to, modify routing process (with specific security permissions)
   - Ability to spawn localized or sub-process workflow routing within an event or trigger.
   - Manual routing of work unit
   - User defined to reach next workflow controlled event
4. Business Rules

   Business rules describe the operations, definitions and constraints that apply to an organization in achieving its goals. For workflow, this is the logic that defines who must take action, if certain events get added to the process, when a notification is sent, how a status may change, if an item is eligible for approval, etc. The workflow implementation must support all existing business rules within the existing workflow system and processes for the system that will replace or re-factor their workflow to use the enterprise tool selected. The current level of complexity within ETF's workflow solution should be supported and many ETF business units would additionally like the complexity expanded.

- Assumptions:
  - Routing is implied with the implementation of business rules.
  - Business rules may be part of business applications, workflow engine and notification mechanism.
  - Business rules within a workflow solution may be managed through a separate business rules engine rather than within the workflow solution itself.
  - Business rules should be administered and modified by an end user rather than by a developer
- Workflow should support business rules with:
  - High level of complexity (more than 5 layers of dependent rules)
  - Ability to specify business rules for the work unit type, Role, User, metadata element, time period (or any combination of above rules) etc.
  - Allow for ad-hoc modifications to business rules with defined security access.
  - Ability to add business rules for a new work unit type or Organization/Role/User etc. without code changes (for example: with the use of an administrative user interface).
  - Ability to define escalation route(s), triggers or events for a specific work unit type or attribute.
  - Ability to provide business rule templates and copy/clone options of existing business rules.

5. Notifications

Notification engines are a combination of software and hardware that provides a means of delivering a message to a set of recipients. The messages can be sent via email, RSS feed, text message, digest of several messages, tasks on a user's calendar, phone call, IM notice or other means. A message will include basic information to identify a workflow item and could be informational or request action be taken on the part of the recipient.

- Assumptions
  - Notifications may or may not be managed within the workflow engine, but workflow must support notifications
  - A Notification engine may be separate from a workflow solution.
  - Notifications may be informative or require action.
  - A Notification engine must be robust and handle all different notification types as well as a high volume of messages.
  - The notification engine must support notifications not only text based, but also audio/phone notices.
- Workflow notifications should be able to:
  - Automatically notify individuals of tasks that they must perform. (Example: Approve work unit, review supporting information, respond to a request, etc.) via various mechanisms available through the workflow engine.

- Automatically notify the creator of the work unit when task completion or outcome occurs (if specified by the user, role or business rule).
- Support time-based triggered notification.
- Record when system messages are sent and retain copies of sent messages.
- Fetch data (any/all data sources) and include it in a notification message.
- Create or include hyperlink to work unit defined destination within application or workflow engine.
- Support delivery verification with a delivery receipt where needed/requested.
- Security options for control of what type of messages can be sent via certain mechanisms (using reliable messaging that provides underlying infrastructure for security).
- Users should be able to configure notifications preferences to support their desired delivery method, display, etc.

6. Audit and History Tracking

Within workflow the audit and history tracking enables ETF to construct a meaningful picture of what has or hasn't happened to a work unit. Audit and history tracking also provides a greater level of accountability, so that in addition to determining what happened to a work unit, ETF can also determine who made what changes when.

- If required, the application supporting the work unit would handle tracking of the work unit value changes and expose that history through a presentation layer (either the application or workflow).
- If the application supporting the work unit could not manage the history/audit of changes the workflow tool should be able to support the tracking of workflow changes (this does not assume the tracking within the workflow tool would include application data outside of workflow).

The audit and tracking within the Enterprise Workflow tool should be able to:

- When a work unit is passed through the workflow each status and activity change should allow for user comments.
- Record the ID of the person or system who performs any activity in the system, as well as when and where the activity takes place (within what application or what portal, etc.).
- Display a record of all the statuses a work unit goes through, and date/time the work unit changes status.
- Maintain and display a snapshot or version of the work unit at key routing points within the workflow. – This may be handled with other mechanisms such as “track changes” or capture only with certain data field/type changes.
- Include notification information within the audit and history trail
- Who, when (trigger), how and a copy of message text to be included in the history.

7. Presentation Layer

The workflow solution must be transparent to its users. Users need to know the status of work units as those work units move through the workflow. For example, supervisors would want to see the status of work units belonging to the employees over which they have control.

- Assumptions:
  - The workflow tool may or may not include a presentation layer or portal for use
  - Presentation layer may be native to the workflow solution or supported through integration of an existing portal or an additional portal product/solution.
- The presentation layer needs of an enterprise solution must allow the following features:
  - Different portals for the different defined roles
  - Options to extract data to provide to a system outside of workflow to deliver the information to the public or read-only views
  - End-user applications may require their own separate presentation layer within their application
  - If the workflow tool is used across distinct applications the user should have a seamless navigation to the workflow features and functions
  - The workflow tool should allow for the branding of an individual application instance (i.e. logo, colors, etc.)
  - Information about the state of each work unit in the workflow is easily accessible
  - List of work units and their metadata that allow for sorting and filtering
  - Profile of users or roles to allow for view definitions
  - Graphical representation of workflow process and progress
  - Provide color-coding options for activities, status and flow as required for escalation and critical paths, etc. (Color coding should enhance data, but not be the only way of defining status; there must be support for screen readers or color blind disabilities)
  - Allow for control of notification preferences through the presentation layer (rather than through the workflow configuration). (Examples: Daily ingest, etc.)
  - Expose audit and history trail of the work unit (view to be defined at the user or role or application level)
  - Presentation layer accessibility should be defined by workflow security settings and desired exposure (Web, desktop, embed in other system, etc.).

8. Security

Workflow security must support all ETF authentication standards.

- Security for workflow should:
  - Integrate with single sign-on solutions
  - Workflow roles must be mapped to security roles (LDAP, AD, etc.).
  - Support existing workflow roles within implemented workflow products and allow expansion to the current access (each workflow process may have its own set of roles and needs).
- Possible roles would include but not be limited to:
  - Creator
  - Stakeholder

- Approver
- Approver Delegate
- Leader
- Reviewer
- Watcher
- Public (for external exposure if desired) – Read Only

- Should have a standard set of security roles, but also allow configurable workflow roles
- Workflow roles (as listed above) are for the purpose of interacting within the workflow engine. These should be configurable based on the needs of the specific process.
- Display different views for different security roles.
- Provide the ability to set an encryption or security level for a work unit type, work unit data element, extract files or attachment to meet with confidentiality requirements for each unit.

9. Technical Integration Points – External System Integration

For a successful implementation of an enterprise workflow solution, it must interoperate with systems across ETF. Moreover, the systems need to interoperate on several different levels. For example, the security mechanisms of one system need to be aware of the security mechanisms of another; data being transferred from one system to another must be normalized or mapped appropriately to ensure data integrity.

E.20 SAMPLE SERVICE COMMITMENTS

The service commitments outlined in the table below are intended as a sample only. The actual service commitments to be used in a possible hosting situation will be negotiated at the time of contract execution.

Table 91 Sample Service Commitments

PERFORMANCE MEASUREMENT	STANDARD
1. Installation of Hardware and Software	VENDOR shall complete the installation of the hardware and software as detailed in the final project work plan for the BAS. All environments supporting Production are to be configured as set forth in VENDOR's Proposal for High Availability with provisions for system failover in the case of hardware and/or software failures. As set forth in VENDOR's Proposal, all hosting locations will deploy industry standard firewalls to protect ETF from possible breaches by unauthorized persons. VENDOR agrees that it has not met the requirements of this Standard unless and until ETF certifies, in writing, that the hardware and software installation is complete, accurate, functional, operational, and acceptable.
2. Business Hours	All times stated are Central Time. Peak Business Hours: 7:45 a.m. – 6:00 p.m. Monday through Friday. Non-Peak Business Hours: Weekends and 6:01 PM to 10:00 PM Scheduled Service Periods: 6:01 p.m. and 6:00 a.m.

PERFORMANCE MEASUREMENT	STANDARD
3. Summary of Service Level Reports	The following reports will be provided to ETF on a monthly basis: Capacity and Usage reports which provide information regarding 1) performance (including activity by the hour, daily site visitors, processor loads, average throughput) 2) system and network bandwidth usage (including information on usage of server and access-bandwidth relative to max capacity) 3) peak load (including a report on peak-time with number of accessing users. Used to scale/measure performance) Scheduled Maintenance and Unscheduled downtime– will provide information on previous occurrences of scheduled and unscheduled downtime System operation time and downtime report-- will provide details regarding system availability and should come directly from system server logs. Help Desk Report—will report Help Desk calls opened, resolved and timeframes to resolve Software Maintenance and Error Resolution Reports—will report software maintenance and error resolution activity, including number of incidents, types of errors, and time to resolve

PERFORMANCE MEASUREMENT	STANDARD
4. System Availability	VENDOR represents and warrants that, except for scheduled downtime the Network hardware and software included for use under this Attachment [to the contract] shall be operational and available for use by ETF via the internet or direct data line connection with system uptime of 99.5%%, 7 days a week . (maximum 45 hours unexpected downtime per year). From time to time, VENDOR may require the application of critical updates and changes to the BAS solution or need to conduct maintenance to the system. These activities may require the system to be unavailable ("downtime"). In all cases where possible, VENDOR will conduct such activities during the Scheduled Service Period defined above. Downtime during these periods will be scheduled at least ten (10) business days in advance and ETF will be notified in writing of the downtime in all cases. In the event that required downtime during non-peak hours is not known at least 24 hours in advance, notice will be given to ETF prior to 4:00 p.m. Eastern Time proceeding the Non-peak period during which the downtime will occur. Scheduled downtime for bug fixes and patches during non-peak hours will not exceed 72 hours per contract year. This limit shall not apply to: major upgrades of application software; infrastructure, such as network; or supporting software, such as operating software and data base software. These exceptions will be scheduled as necessary by mutual agreement between ETF and VENDOR. Scheduled downtime, including system server logs showing system uptime and downtime, will be reported monthly. Unscheduled Downtime: In order to allow for the application of mission-critical system fixes or in the unlikely event that system downtime occurs that is beyond the control of VENDOR or its subcontractors, the ETF Help Desk will be notified immediately by the Hosting Facility. A total of 45 hours per year (99.5% uptime requirement) will be allowed for unscheduled downtime. Unscheduled downtime, including system server logs showing system uptime and downtime, will be reported monthly.

PERFORMANCE MEASUREMENT	STANDARD
5. Help Desk Support	Help Desk functions will be provided in accordance with the following: A single telephone number and a primary and secondary Help Desk point of contact will be designated. Help Desk will be available via telephone and email during Peak Business hours. In the event that Help Desk personnel are unable to live-answer telephone calls, a dedicated voice mail box will be available. Emails or calls received by the voice mail box will receive a response via email or telephone within 30 minutes if received during Peak Hours. During non-peak business hours, calls for assistance must be returned within 60 minutes of a message being left or email notification. Help Desk support calls relating to hosting will be handled within the same timeframes and in the same manner as Defect Correction calls set forth in Section 13 of this Agreement. In the event of a system outage, ETF will be notified immediately. Written or verbal updates regarding the investigative efforts surrounding the outage and an estimated timeframe for resolution will be provided hourly until resolution. Resolution is expected within 24 hours. A report of Help Desk calls opened, resolved and timeframes to resolve will be compiled and reported monthly.
6. Backup and Recovery	Backup procedures will include the backup of the entire BAS application and database on a nightly and weekly basis. Associated files Database transaction logs must be rolled and copied to tape every 2 hours. **Rotation**: Nightly backups must be retained for 7 days. Weekly backups must be retained for 30 days. Monthly backups must be retained for 90 days. Quarterly backups must be retained for a year and annual backups must be retained for 10 years for as long as ETF maintains a Hosting Services Agreement with VENDOR. Copies of the backups must be sent to the Disaster Recovery site on a daily and weekly schedule and retained as necessary to comply with retentions specified above. **Recovery**: In the event of a system outage requiring recovery from backups, the production environment will be restored using the prior night's backups. Databases will be restored and rolled forward to the latest applicable recovery point available using the transaction logs. Vendor is responsible for retrieving any media from remote location to recover the system. Full recovery of production must not exceed 16 hours

PERFORMANCE MEASUREMENT	STANDARD
7. Disaster Recovery	In the event of a prolonged outage where disaster recovery site activation is required, the vendor is responsible for full recovery of production environment at the disaster recovery site. Actual point of recovery will be the last available back-up prior to the outage. VENDOR is responsible for retrieving tapes from remote location restoring from back up and configuring the disaster recovery site to become the primary site. Disaster Recovery Testing will be completed twice a year.
8. Response Times	All online transactions within the proposed solution will deliver response times between three and five seconds. This is for individual transactions and record retrieval. Reports and queries may require some additional processing time. Response times longer than 5 seconds for individual transactions and record retrieval shall be deemed unacceptable. Should these response times exceed the 5 second limitation for a period of 3 days, VENDOR will provide ETF with a plan to address and correct application response times within 2 business days.

E.21 ENTERPRISE BUSINESS MANAGEMENT SCENARIOS

The EBM scenarios were developed under a **Requirements Risk Mitigation Strategy** and a **Content Strategy.**

The **Requirements Risk Mitigation Strategy** has three goals:

1. To clearly identify and communicate a set of requirements that are understood, well-articulated, and documented
2. To identify and communicate that set of requirements that fail the test of goal 1
3. To minimize the number of requirements not covered either by goal 1 or by goal 2.

The Content Strategy has three goals:

1. To deliver business requirements, not design or implementation level requirements
2. To discover those business requirements which provide value to ETF's members
3. To provide both a broad and deep coverage perspective.

The **EBM Scenarios** are described as follows:

1. Each scenario is a statement on the way a member obtains value from their relationship with ETF; the collection of scenarios is the broad coverage perspective
2. Each individual scenario is the *deep dive* into the business requirements, that ETF follows which provides value to a member
3. Each scenario is made up of:
   - Activities (information flows, decisions made, calculations performed);
   - Business rules that provide the criteria used to make a decision;
   - Business calculation and their formulae and factors.
4. Each scenario is accompanied by Follow-Up Items that list those parts of the scenario that are not yet understood, well-articulated, and/or documented. The follow up activity to resolve these items will begin in June 2013 and continue until fully resolved (expected to be the end of the 2013 calendar year). At that point, the EBM team will identify resolutions to the Follow-Up Item's and how they are integrated into and further define the scenarios. These resolutions will also identify, validate, and incorporate any additional business rules and calculations across all of the scenarios.

ETF's 17 identified EBM Scenarios are listed below and available as individual PDF files:

1. 3rd Party or Member Requests Financial Info
2. Add an Employee/Employee Enrolls for Health Insurance
3. Add an Employer/Employer Enrolls for Health Insurance
4. Annual Health Plan Renewal; Adding a Health Plan; Update Health Plan Guidelines
5. Court Issues a QDRO
6. Employee Obtains Flexible Spending Account
7. Employee Obtains Income Continuation Insurance

8. Employee Obtains Life Insurance
9. Employer Enrolls in WRS; Enrolls Eligible Employees
10. Employer Remits Retirement Contribution
11. Member Applies for Retirement Benefits
12. Member Requests Retirement Benefit Estimate
13. Participant Applies for 40.63 Disability Retirement Benefit Payment
14. Participant Applies for a 40.65 Duty Disability Payment
15. Participant Purchases Creditable Services
16. Participant Requests Disability Benefit Estimate
17. Receives a Death Notice

The actual scenario files, available in PDF format, have been provided as separate files on ETF's secure FTP site.

E.22 RECORDS MANAGEMENT PROGRAM

Records Management Program

- Records Retention Requirements
- RDA's & General Schedules
- Open Records Law
- E-Mail/Internet Records
- ETF Records Access & Reproduction Policy
- Records Management Program Manual (ET-8187)
- Records Management Intro for State Employees (Requirements & Responsibilities)
- Records Management Intro for Supervisors & Managers (Requirements & Responsibilities)
- Records Management Intro for Senior Management (Requirements & Responsibilities)

Records are valuable information resources that are essential to the conduct of ETF business. They document management issues, serve as evidence, and provide information about the Department and its customers.

All Department personnel are required to comply with multiple, inter-related laws related to records.

The Department meets legal requirements for managing records by maintaining and supporting a comprehensive, Department wide Records Management Program.

Whom can I call if I have questions or need further information about Records Management?

ETF Records Officer, 608-266-XXXX
Records Management Section Chief, 608-266-XXXX

For information on what services the Records Management Section provides, see pages 10-11 through 10-15 in the Employee Handbook.

E.22.1 RECORDS RETENTION REQUIREMENTS

Department personnel are required to comply with the following records scheduling and disposition requirements under s. 16.61 (4), Wis. Stats., for all records that are created or received in transacting public business.

- Maintain records in accordance with the retention and disposition requirements of approved Records Retention/Disposition Authorizations (RDA's).
- Develop an RDA for each records series and obtain approval of each disposition plan from Administrators, Office Directors, Secretary's Office and the Public Records Board (PRB) (an independent Board attached to the Dept. of Administration).

- Do not destroy records without an approved RDA that authorizes disposition. No further approval is needed to dispose of records after retention requirements have been met, except if the records are undergoing an audit, have a pending or denied open records request, or have legal action pending.

There are risks and penalties for either: a) failing to keep records long enough; or b) keeping records beyond their required retention periods.

E.22.1.1 RECORDS DISPOSITION

ETF staff may dispose of records by following the provisions in a current, approved Records Retention/Disposition Authorization (RDA).

- Identify the records series that specifically permits records disposition.
- For common types of state records, e.g. budget, personnel, etc. see General Records Schedules.
- Become familiar with RDA's developed for ETF records.
- Consult with agency records officer or records management section chief to determine whether or not particular records are covered and for advice and assistance interpreting retention and disposition requirements.
- Retain records for time periods listed in RDA's or General Schedules. Follow records policies.
- Notify Records Officer or Records Management Section Chief of records with no RDA. If the records are not described in current, approved RDA, do not destroy them. Keep until a retention/disposition policy is developed and approved.

E.22.1.2 EXCEPTIONS TO DISPOSITION

Whenever Department staff retain records, or copies of records, beyond the approved retention period, they must also continue to provide access to the records as specified in the Open Records Law. Provisions of the open records law apply to the records for as long as they are retained by the Department.

There are also four other valid reasons records must be retained beyond their retention period:

- Pending open records requests
- Pending legal action
- Pending audit
- RDA under revision where retention time is changing

http://publicrecordsboard.wi.gov/section.asp?linkid=1528&locid=165 is available on an enterprise level. This site was developed by several State Records Officers and includes information on: What is a Record and filing Guidelines. There is also an interactive quiz on basic records management and what is a record under other reference materials. There are other resources in the document library or e-records and email.

E.22.2 RECORDS RETENTION SCHEDULES (RDA'S) AND GENERAL SCHEDULES

Department personnel may dispose of records by following the provisions in a current, approved Records Retention/Disposition Authorization (RDA). Personnel must identify a records series that specifically permits records disposition. Many of ETF's records are retained in house while active and then are stored at the State Records Center (SRC) after closed until their retention period is up. Disposition of these records is done through a formal internal approval process twice a year when Records Management receives the disposition list from the SRC. Contact the Records Officer or Records Management Section Chief for advice about existing schedules or for assistance interpreting retention requirements.

The list of RDA's includes:

- General Schedules for Wisconsin State Agencies – covers Administrative Records, Budget & Related, Facilities Mgt., Fiscal & Accounting, Forms Management, IT Business Records, Library Operations, Mail & Messenger Services, Motor Vehicle Management, Payroll & Related, Personnel, Purchasing & Procurement, Records Management and Workers Compensation.

  Information on these can be found:
  - ETF's Records Management Program Manual, ET-8187; or
  - DOA General Schedules website
- ETF Records Schedules
  - ETF's Records Management Program Manual, ET-8187; or
  - Link to Table of RDA's

E.22.3 OPEN RECORDS LAW

The Open Records Law codifies, clarifies, and amplifies previous state law regarding access to records, and adds specific access procedures and penalties. The provisions of the Open Records Law can be found in Chapter 19 of the Wisconsin Statutes.

The Open Records Law does not represent any key shift in open records policy; its major purpose is to standardize access procedures. This law continues Wisconsin's strong open records emphasis. The policy section states that since "representative government is dependent upon an informed electorate…all persons are entitled to the greatest possible information regarding the affairs of government." There is a presumption of complete public access. However, the law also recognizes the need for some records to be exempted from disclosure by more specific state and federal law and case law principles such as the "balancing test." State and federal confidentiality laws that are more specific than the Open Records Law will usually take precedence.

The Open Records Laws covers all records, regardless of their form or characteristics. There are some exceptions. Additional information on exceptions can be found in the law itself and ETF's Records Management Program Manual, ET-8187

Legal Custodians and Deputy Legal Custodians of Records have been appointed to fulfill the duties prescribed by the Open Records Law.

Persons appointed to the following positions within ETF are appointed as "Legal Custodians" for records under their control, and they shall serve in such capacity for as long as they hold this position: Secretary, Deputy Secretary, Executive Assistant, Division Administrators, Office Directors, Legal Counsel, Records Officer.

The following positions serve as "Deputy Legal Custodians": Bureau Directors, Section Chiefs, and Appeals Coordinator.

This list of Legal Custodians and Deputies shall be used when questions arise regarding the Department's records access policy or when a request to access a record may be rejected. Custodians are vested with full legal power to render decisions and carry out the duties assigned by the Department under this policy. A denial to access a record must be signed by either a Legal Custodian or a Deputy Legal Custodian.

Each Legal Custodian shall:

1. Familiarize themselves with the Department's policy and procedures on records access (policies on access can be found in the Employee Handbook and Records Management Program Manual and procedures for open records requests can be found in the Records Management Program Manual).
2. Be knowledgeable of the purposes for which the records under their control are maintained.
3. Be knowledgeable of the general contents and location of records.
4. Permit access to records at all times during regular office hours.
5. Be able to perform the "balancing of public interests" test explained in the Open Records Law Definitions.
6. Be aware of the set of reasons authorized by this policy that justify the denial of inspection.
7. Periodically inform all employees within the office of the correct procedures to be followed when requests for access to information are received.
8. Impose reasonable restrictions on the manner of access to an original record if the record is irreplaceable, easily damaged or easily altered.
9. Direct requests for an interpretation of any provision of the Open Records Law to the Chief Legal Counsel.

<u>Guidelines</u>

Most requests for information received by the Department are straightforward and can be resolved by the ETF employee receiving the request. Examples of such items are requests by participants for information on themselves in our records or requests for information by the legal designee of a participant.

Requests for Protected Health Information under HIPAA must be made on ET-2421, Request to Copy or Inspect Protected Health Information, (see Privacy Policy #8). If you receive a request for medical record data that is related to health insurance benefits in any way, please contact the Department's Privacy Officer for guidance.

Other requests will be more difficult to resolve and should be taken to the employee's supervisor for resolution. Examples of information requests that should be resolved at a higher level include:

- Highly controversial issues;
- Legally ambiguous situations;
- A situation which can set an unfavorable precedent for the Department;
- A situation in which the decision might negatively affect other Department programs;
- A situation where the decision would be a significant change from past practice.

E.22.4 E-MAIL RECORDS

For E-mail messages, as for any other type of records, Department personnel must comply with laws regarding ownership, access to information, and retention. To determine how long E-mail messages should be retained, refer to the Records Retention Requirements section. Guideline requirements apply to records in any medium. Retention of E-mail is based on the content of the message.

Messages that are non-records may be deleted at any time. Non-record email should be deleted as soon as possible for maximum network system efficiency. Listed below are some non-record email types, which you can delete without an approved record retention schedule, per s.16.61 and s. 19.32(2), Wis. Stats.

FYI/All Staff Broadcasts (as recipient)
Unsolicited materials/junk mail
Publications
Personal email (e.g., Let's Do Lunch)
Inappropriate email

If the message pertains to records with permanent value, the record needs to be moved to an appropriate storage medium and kept as part of that permanent record and according to the approved RDA.

Additional information on E-mail records can be found in the Employee Handbook, in the Electronic Mail (E-Mail) Policy, 14H.

Email records management training is available on an enterprise level. This site was developed by several State Records officers and includes information on: What is a Record and Email Retention Requirements? After you review the material on this site, test your knowledge on records by linking to the interactive Q&A or taking the E-Mail Retention Quiz.

E.22.5 INTERNET RECORDS

There may be rare circumstances where information obtained, downloaded, or referenced would be considered a record. If so, this information should be moved to an appropriate storage medium and kept as part of that record and according to the approved RDA.

Additional information on Internet Usage can be found in the Employee Handbook, in the Internet Usage Policy, 14O.

E.22.6 ETF RECORDS ACCESS & REPRODUCTION POLICY

The Department, in order to fulfill its fiduciary responsibilities, must collect personal information on individuals enrolled in the programs it administers. This information is, by statute, confidential and will not be disclosed except for the situations specified in Section 40.07 of the statutes and as required to comply with Federal law.

In addition, Chapter 10 of the ETF's Administrative Code contains rules on Department Records.

The complete Records Access Policy can be found in the Employee Handbook, 14S. and In the ETF's Records Management Program Manual, ET-8187.

E.22.7 RECORDS MANAGEMENT PROGRAM MANUAL

Besides the requirements in Chapter 16 and 19 of the Wis. Stats., and the policies noted above, there are other state policies and Administrative rules that govern state records. These include a Trustee/Administration Policy, a Statewide Policy, a Department Paper & Electronic Records Policy, and ADM 12, electronic records management requirements.

Information on all of these can be found in the Records Management Program Manual, ET-8187.

E.23 ETF WEB SERVICES SECURITY REQUIREMENTS

Security for web services calls will abide by the following requirements in all cases, including communication be with external entities or among BAS components:

- **Transport confidentiality** – all communications must be encrypted using well configured TLS.
- **Server authentication** – SSL/TLS must be used to authenticate the service provider to the service consumer. The service consumer should verify the server certificate is issued by a trusted provider, is not expired, is not revoked, matches the domain name of the service, and that the server has proven that it has the private key associated with the public key certificate (by properly signing something or successfully decrypting something encrypted with the associated public key).
- **User authentication** – client certificate authentication using SSL.
- **Transport encoding** – the same encoding style will be used between the client and the server.
- **Message integrity** – For XML data, XML digital signatures will be used to provide message integrity using the sender's private key. The signature can be validated by the recipient using the sender's digital certificate (public key).
- **Authorization** – the web service will authorize the consumer as to whether they have access to the method called. Following authentication, the web service will check the privileges of the requesting entity whether they have access to the requested resource. This will be done on every request.
- **Schema validation** – the web service will validate payloads against their associated XML schema definition (XSD). The XSD should, at minimum, define the maximum length and character set of every parameter allowed to pass into and out of the service. The XSD should define strong (ideally white list) validation patterns for all fixed format parameters.
- **Content validation** – the web service needs to validate input before consuming it. Content validation should include: validation against malformed XML entities, validation against XML Bomb attacks, validating inputs using a strong white list, and validating against external entity attacks.
- **Output encoding** – the web service needs to ensure output sent to clients is encoded to be consumed as data and not as scripts.
- **Virus protection** – virus scanning technology must be installed inline so files and attachments are checked before being saved to disk. The virus scanning technology must be regularly updated with the latest virus definitions and rules.
- **Message size** – the web service message should be limited to an appropriate size limit. Larger size limits increases the chances of successful Denial of Service (DoS) attacks.
- **Availability** – Configuration of the number of web service requests served during a specific amount of time should be optimized for maximum message throughput to avoid running into DoS-like situations. The web service must validate for recursive payloads, oversized payloads, against XML entity expansion, and against overlong element names.
- **Endpoint security profile** – the web service must be compliant with Web Services-Interoperability (WS-I) Basic Profile at minimum.

PKI technology will be managed by ETF, including encryption algorithms.

E.24 ETF CALL FLOW NARRATIVE

Call Flow narrative for Wisconsin Department of Employee Trust Funds (ETF)
Updated design Created by Vicki McFall 07/17/09
Last updated 03/27/13

ETF Contact Numbers:

- Main Line 1-877-533-5020, local Madison 608-266-3285 (currently has 20 lines in trunk hunting. see page two of this document.)
- Self Service Line 1-877-383-1888, local Madison 608-266-2323 (currently has 12 line in trunk hunting. See page 12 of this document.)
- Important Current Topics (aka Pre-Recorded Messages/Telephone Message Center) 1-800-991-5540, local Madison 608-264-6633 (currently call forwards busy to 261-8020 special application voice mail box) which will be decommissioned effective Friday, March 8 at 4:00pm. Add the development of separating Member and Employer calls and incorporating "Topics of Interest" *for Members & Employer* call flow.
- Employer Line 1-888-681-3952, local Madison, 608-264-7900. Local phone number will be redirected to ETF's main number 266-3285.
- Appointment Line 1-877-533-5020 ext. 65717 (toll free) or (608) 266-5717 (local Madison) ***Note: In CentrexMate (portal to AT&T switch), 266-5717 we activated variable call forwarding to ETF's Main Line 266-3285 and then terminated it on the frame.***

CCA Attributes for ETF's Main Line:

1. Calls are handled in the order they are received. First in first out.
2. Calls are to be routed to the agent most idle.
3. While callers are in the loop waiting to be answered it should constantly check for the next available agent.
4. Callers are to hear promotional messages between hearing music while on hold. (when applicable)
5. Agents can transfer a call to a "priority queue" (ahead of other callers in the queue.)
6. Skill based routing for call center agents. Main Skill and Training Skill.
7. Number of rings for an agent to answer a call is set to 4.
8. Agents are to use log out reason codes.
9. Calls will initially be accepted between the business hours of 7:00am to 4:50pm with flexibility to change.
10. Queue wrap up will initially be between 4:50pm and 5:00pm with flexibility to change. (Not applicable to the Employer Line)
11. Calls initially between 4:30 pm to 7:45 am are to reach a closed message with flexibility to change.
12. Main Call Center or ECC Call Center can initiate an Emergency override; activate "emergency" situation & play an announcement; create a remote emergency activation for both Rimrock and Badger Road.
13. Lightweight Directory Access Protocol (LDAP) access.
14. Testing option used only by ETF for testing during afterhours to fool the systems we are open. DEV ADMIN is used for all testing.
15. Agents have the capability to transfer calls to the "High Priority" workgroup. (Not applicable to the Employer Line)
16. Workgroup overflows in CCA: When "Training" agents are all busy, these should overflow to "Main" agents, but NOT vise versa. (Not applicable to the Employer Line)

IVR Attributes for ETF Main Line and Appointment Line:

1. Calls will initially be accepted between the business hours of 7:00am to 4:50pm.
2. Calls initially between 4:50 and 5:00pm are to reach an announcement.
3. Calls initially between 5:00pm and 7:00am are to reach a closed message.
4. When callers opt out for an agent from Self Service, these are to be routed to "Main" work group agents. If agents are busy, play announcement and then disconnect. (Not applicable to the Employer Line)
5. The IVR should monitor CCA license capacity. If full send notification back to the caller to a. Members offer to opt out to other self service or call back later b. For Employers, call back later then disconnect.
6. When the IVR performs an "intelligent" transfer, it is routing via 5 digits. Example 267-8848 is 78848.

Notes continued on Admin Page-1.1

Action in IVR
Actions in CCA
Action done by a Representative
Changes
Blue Text — Announcements
Employer Line
Actions in TMC Special Applications
Integration to CallSS
Red Text — Changes Made

H:\Switch_IVR_Proj\Requirements

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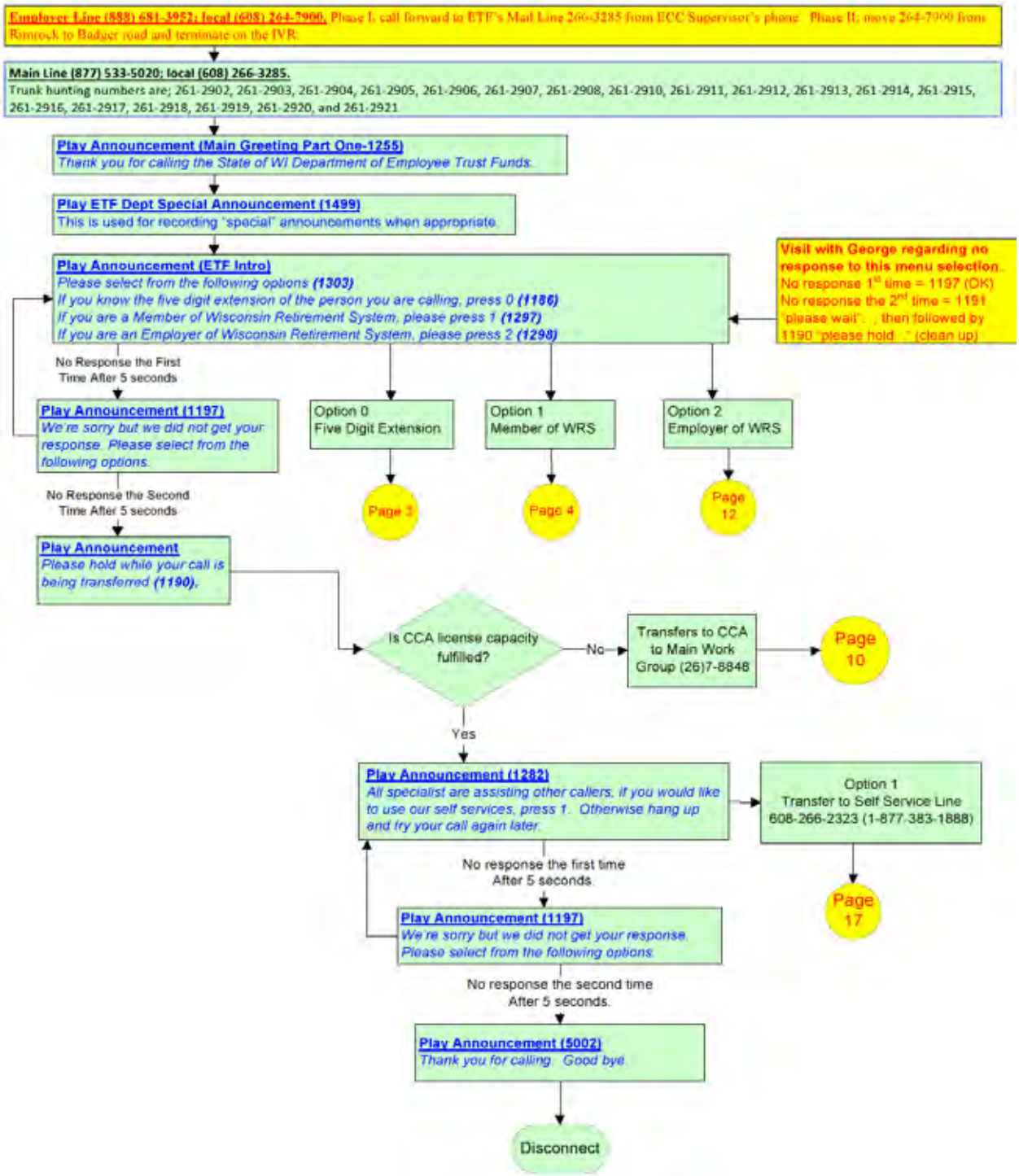
Continued By Mile Stone Date, Friday, March 8 (Phase I) Redirecting the Employer Line to ETF's Main Line and the development of ***"static"*** "Important Current Topics" for both Members and Employers:
IVR Attributes continued:
17. The ability for a Member or Employer to re-listen to their "Important Current Topics" recorded information. (pages 3 & 16)
18. The ability for Members to opt out to other "Self Services" in the IVR.
19. The ability to perform a Time Check (7:45am to 4:30pm) and Holiday check for the Employer Line like we do for Members. (see page 16)
20. The ability to play an "Employer Closed Message" for hours 4:30pm to 7:45am. (page 11)
21. Modify Self Service Greeting Part One to remove "You must have a touch tone phone to use this system." (see page 12)
22. Modify Self Service Annuitant and Non-Annuitant pre-recorded message phrases to "Important Current Topics". (see page 12)
23. If/when CCA license capacity is filled for Employer calls, play a phrase that all specialist are busy assisting other, then disconnect. (see page 16)
24. The ability for Employers to opt out to a specialist. (see page 16)
25. Block the ability for Employers to leave voice mail messages after hours. (see page 11)
26. The ability to play a "Special Announcement" for the ETF as a Department (see page 2) and for Employers (see page 16). Like we do for Members.

CCA Attributes:
1. Remove "Main/Line: Member/Employer routing selection. This will now be taking place in up front in the IVR. (see page 7)
2. Remove "20 EVP-ECC Main Intro" when the Employer Line was called directly. (see page 13) Again, this is taking place up front in the IVR.

After March 8 through May or sooner(Phase II). Continue development to change the Topics of Interest so they are ***"dynamic"*** for both Members and Employers. Include auditing, reporting and tool development to administer the Topics of Interest.
IVR Attributes:
1. Add an option for Employers to opt out for "help desk" support. Employer Help Desk Line 264-9181.
2. Build on the development of "static" Important Current Topics so that they are "dynamic" and can be modified as needed using ETF's current Phrase Administration Tool. (pages 3 and 16)
3. Develop a tool/method to allow for ETF to make graphical assignments of the Topics of Interest to phrase files. Allowing the user to choose between the Member and Employer Topic Menu and change the menu sequence based on assigning new phrases to the 10 Topics.
4. Develop a tool/method to track all changes to the Topic Menus (for both Members and Employers) that will then generate respective reports.
5. Develop a summary report providing totals for Topics selected, total transfers (Opt out to speak to a benefit specialist or a Member opt out (1) to conduct other Self Services, etc.)for either Members or Employers, number for requested repeat of topic details. A single report will separate the Member and Employer Topic menu selections. Access to these reports will be done using ETF's current VRU administration.
6. All external interfaces will maintain the same functionality as it does today.

Other Attributes for Phase II:
1. Physically terminate Employer Line 264-7900 on the IVR opposed to controlling phone 261-8901 (Rory McGarry's) *(Mic has a phone call into Kevin at Centurion on how to best accomplish this.)*



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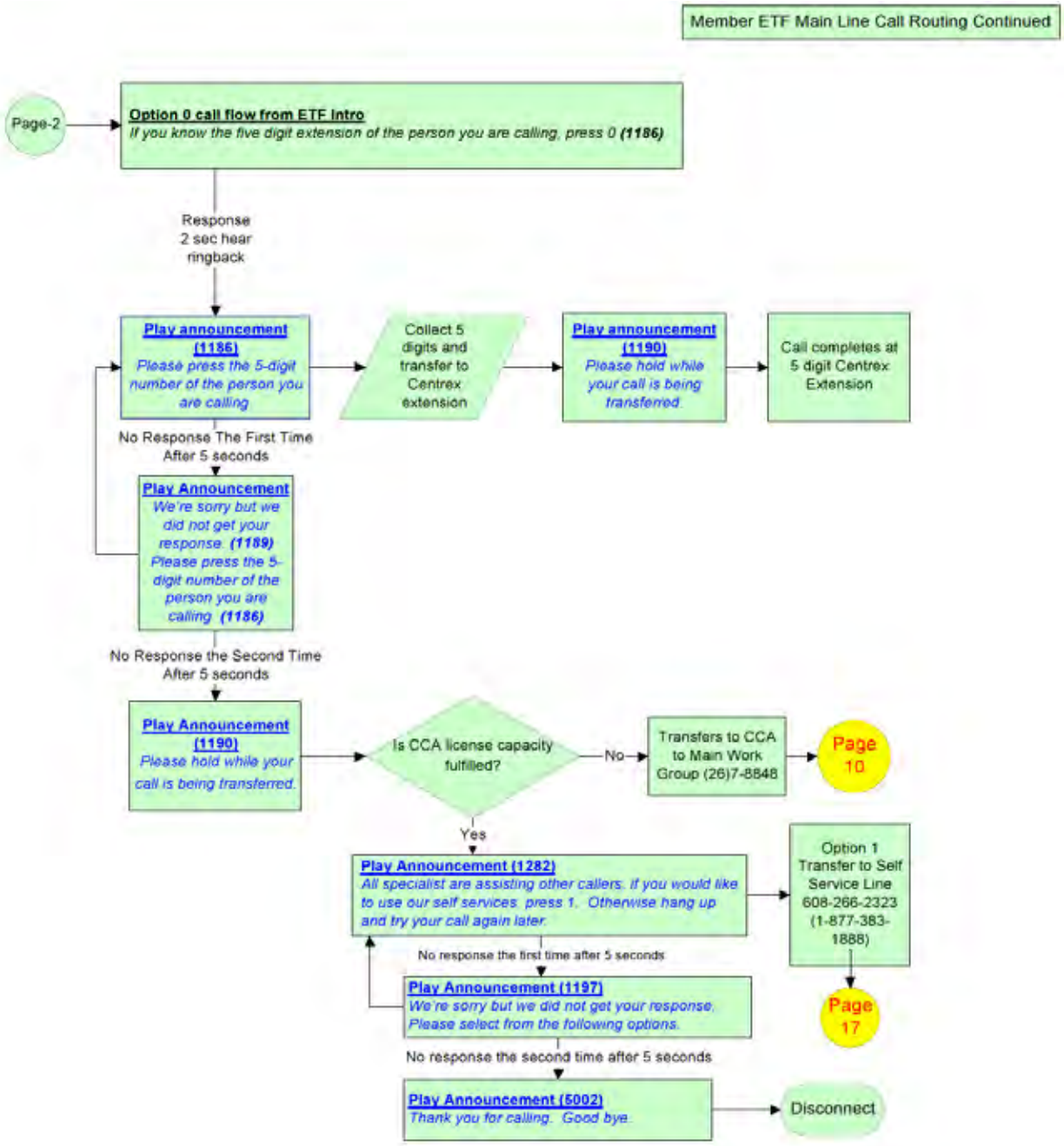

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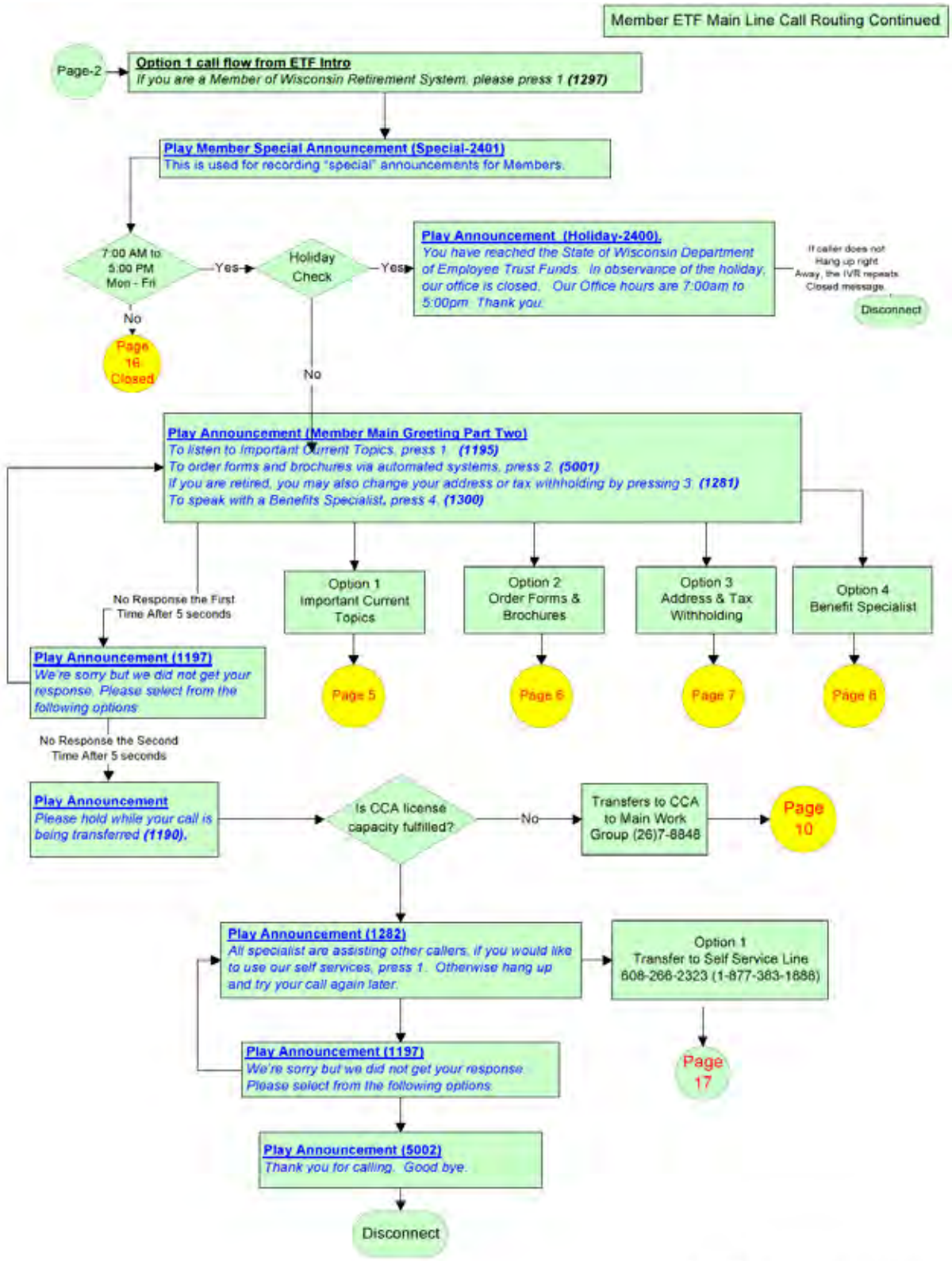
Member ETF Main Line Call Routing Continued
Page-2
Option 1 call flow from ETF Intro
If you are a Member of Wisconsin Retirement System, please press 1 (1297)
Play Member Special Announcement (Special-2401)
This is used for recording "special" announcements for Members.
7:00 AM to 5:00 PM Mon - Fri
Yes
Holiday Check
Yes
Play Announcement (Holiday-2400).
You have reached the State of Wisconsin Department of Employee Trust Funds. In observance of the holiday, our office is closed. Our Office hours are 7:00am to 5:00pm. Thank you.
If caller does not Hang up right Away, the IVR repeats Closed message.
Disconnect
No
Page 16 Closed
No
Play Announcement (Member Main Greeting Part Two)
To listen to Important Current Topics, press 1. (1195)
To order forms and brochures via automated systems, press 2. (5001)
If you are retired, you may also change your address or tax withholding by pressing 3. (1281)
To speak with a Benefits Specialist, press 4. (1300)
Option 1 Important Current Topics
Option 2 Order Forms & Brochures
Option 3 Address & Tax Withholding
Option 4 Benefit Specialist
Page 5
Page 6
Page 7
Page 8
No Response the First Time After 5 seconds
Play Announcement (1197)
We're sorry but we did not get your response. Please select from the following options:
No Response the Second Time After 5 seconds
Play Announcement
Please hold while your call is being transferred (1190).
Is CCA license capacity fulfilled?
No
Transfers to CCA to Main Work Group (26)7-8848
Page 10
Play Announcement (1282)
All specialist are assisting other callers. If you would like to use our self services, press 1. Otherwise hang up and try your call again later.
Option 1 Transfer to Self Service Line 608-266-2323 (1-877-383-1886)
Page 17
Play Announcement (1197)
We're sorry but we did not get your response. Please select from the following options:
Play Announcement (5002)
Thank you for calling. Good bye.
Disconnect
Created by Vicki McFall 03/27/13
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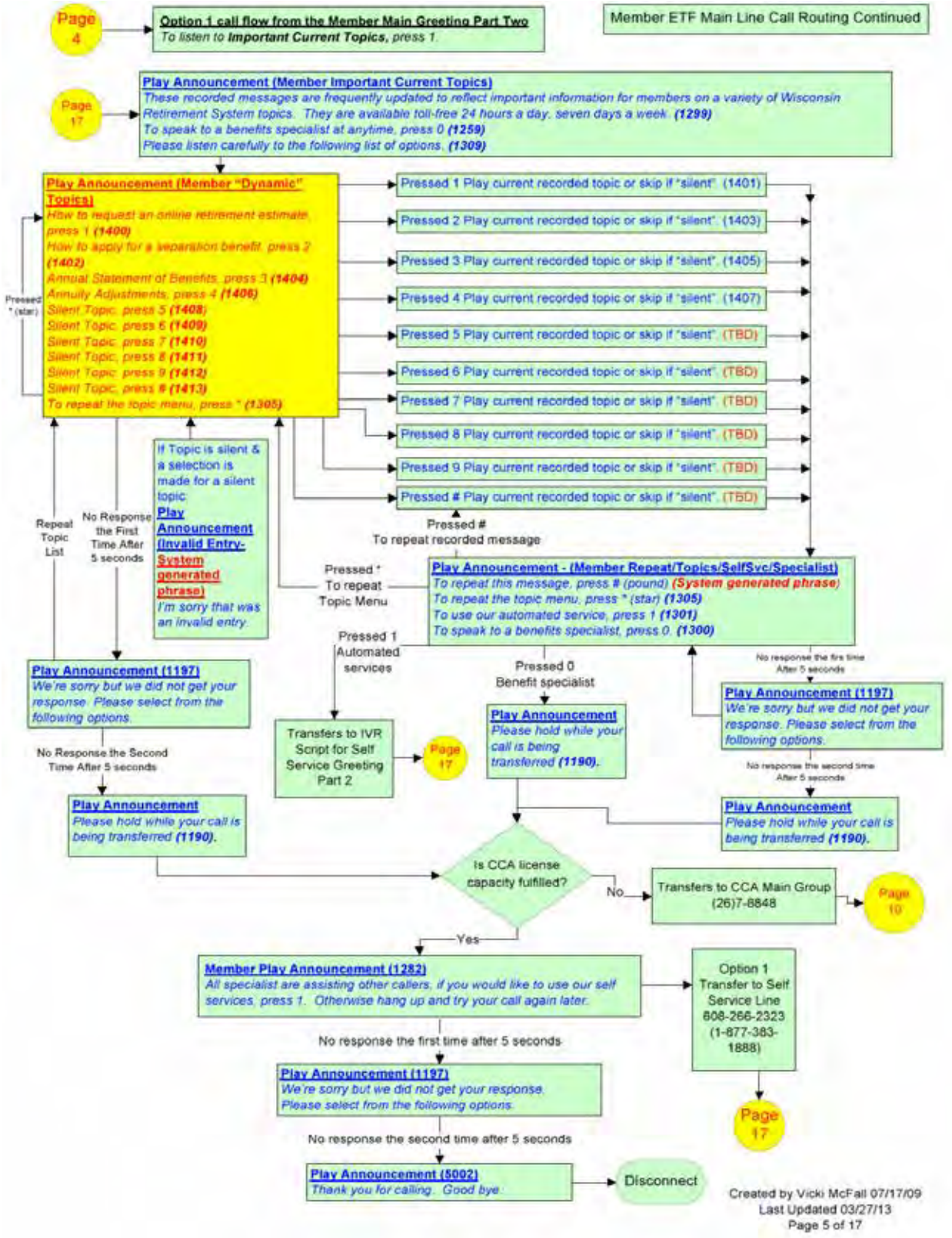
Page 4
Option 1 call flow from the Member Main Greeting Part Two
To listen to Important Current Topics, press 1.
Member ETF Main Line Call Routing Continued
Page 17
Play Announcement (Member Important Current Topics)
These recorded messages are frequently updated to reflect important information for members on a variety of Wisconsin Retirement System topics. They are available toll-free 24 hours a day, seven days a week. (1299)
To speak to a benefits specialist at anytime, press 0 (1259)
Please listen carefully to the following list of options. (1309)
Play Announcement (Member "Dynamic" Topics)
How to request an online retirement estimate, press 1 (1400)
How to apply for a separation benefit, press 2 (1402)
Annual Statement of Benefits, press 3 (1404)
Annuity Adjustments, press 4 (1406)
Silent Topic, press 5 (1408)
Silent Topic, press 6 (1409)
Silent Topic, press 7 (1410)
Silent Topic, press 8 (1411)
Silent Topic, press 9 (1412)
Silent Topic, press # (1413)
To repeat the topic menu, press * (1305)
Pressed * (star)
Pressed 1 Play current recorded topic or skip if "silent". (1401)
Pressed 2 Play current recorded topic or skip if "silent". (1403)
Pressed 3 Play current recorded topic or skip if "silent". (1405)
Pressed 4 Play current recorded topic or skip if "silent". (1407)
Pressed 5 Play current recorded topic or skip if "silent". (TBD)
Pressed 6 Play current recorded topic or skip if "silent". (TBD)
Pressed 7 Play current recorded topic or skip if "silent". (TBD)
Pressed 8 Play current recorded topic or skip if "silent". (TBD)
Pressed 9 Play current recorded topic or skip if "silent". (TBD)
Pressed # Play current recorded topic or skip if "silent". (TBD)
Pressed #
To repeat recorded message
If Topic is silent & a selection is made for a silent topic
Play Announcement (Invalid Entry-System generated phrase)
I'm sorry that was an invalid entry.
Repeat Topic List
No Response the First Time After 5 seconds
Pressed *
To repeat Topic Menu
Play Announcement - (Member Repeat/Topics/SelfSvc/Specialist)
To repeat this message, press # (pound) (System generated phrase)
To repeat the topic menu, press * (star) (1305)
To use our automated service, press 1 (1301)
To speak to a benefits specialist, press 0. (1300)
Pressed 1
Automated services
Pressed 0
Benefit specialist
No response the first time After 5 seconds
Play Announcement (1197)
We're sorry but we did not get your response. Please select from the following options.
Transfers to IVR Script for Self Service Greeting Part 2
Page 17
Play Announcement
Please hold while your call is being transferred (1190).
No response the second time After 5 seconds
Play Announcement (1197)
We're sorry but we did not get your response. Please select from the following options.
No Response the Second Time After 5 seconds
Play Announcement
Please hold while your call is being transferred (1190).
Play Announcement
Please hold while your call is being transferred (1190).
Is CCA license capacity fulfilled?
No
Transfers to CCA Main Group (26)7-8848
Page 10
Yes
Member Play Announcement (1282)
All specialist are assisting other callers, if you would like to use our self services, press 1. Otherwise hang up and try your call again later.
Option 1 Transfer to Self Service Line 608-266-2323 (1-877-383-1888)
Page 17
No response the first time after 5 seconds
Play Announcement (1197)
We're sorry but we did not get your response. Please select from the following options.
No response the second time after 5 seconds
Play Announcement (5002)
Thank you for calling. Good bye.
Disconnect
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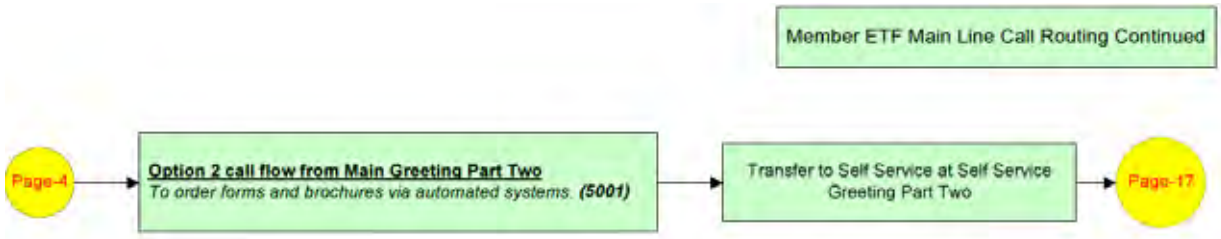
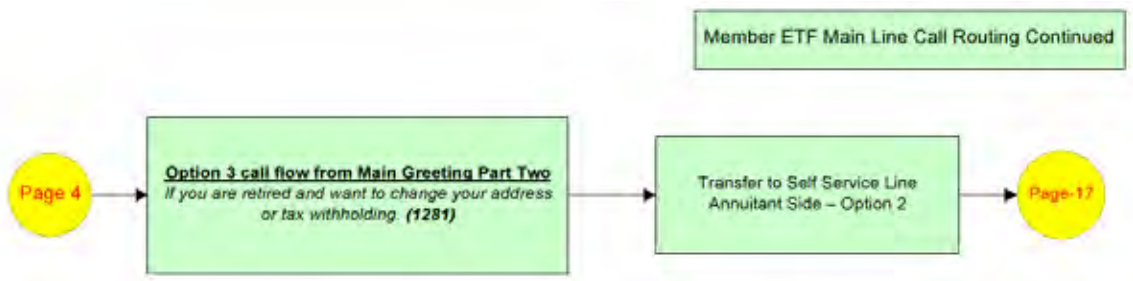

Member ETF Main Line Call Routing Continued
Page-4
Option 2 call flow from Main Greeting Part Two
To order forms and brochures via automated systems. (5001)
Transfer to Self Service at Self Service Greeting Part Two
Page-17



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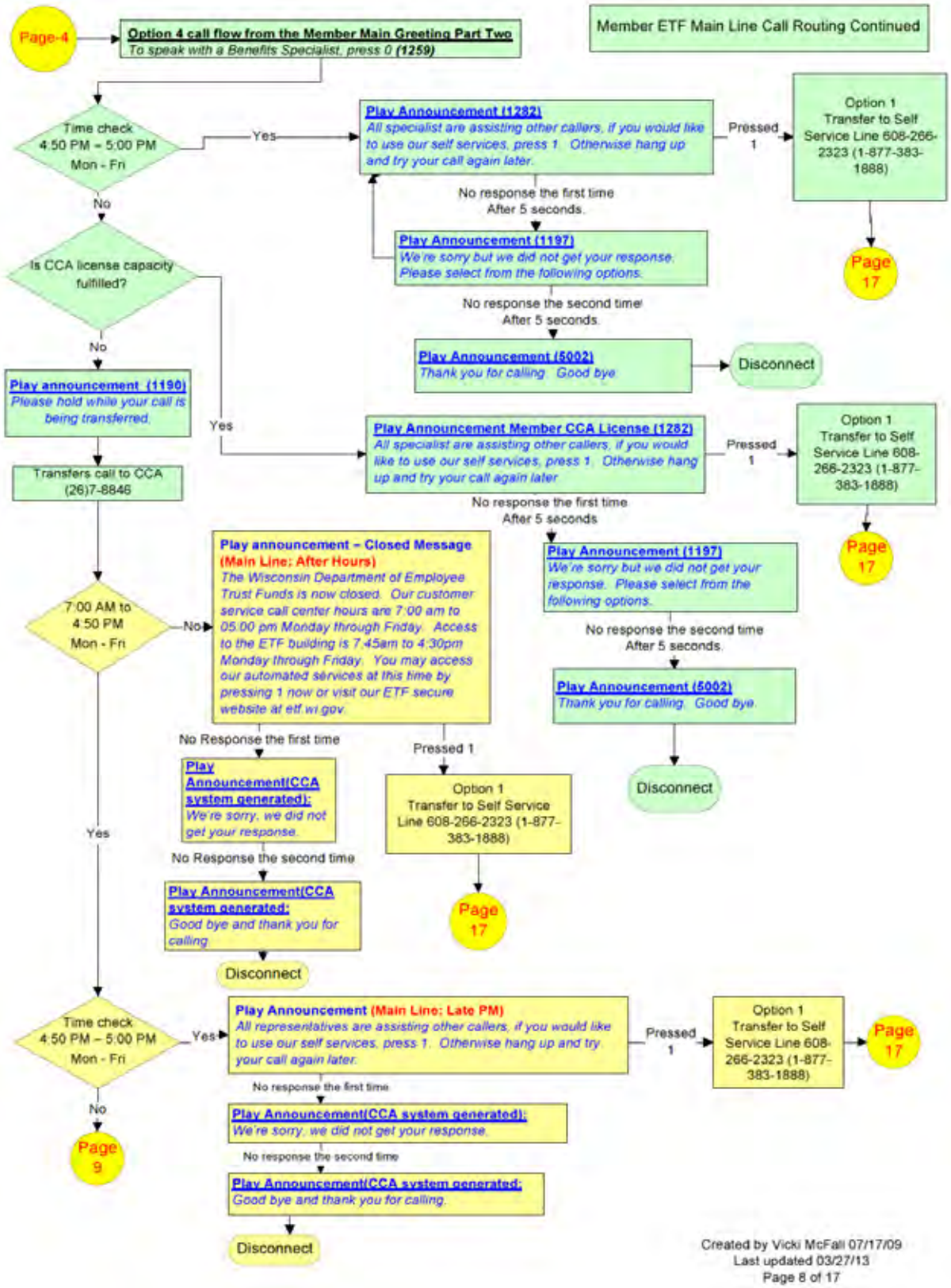
Page-4
Option 4 call flow from the Member Main Greeting Part Two
To speak with a Benefits Specialist, press 0 (1259)
Member ETF Main Line Call Routing Continued
Time check 4:50 PM – 5:00 PM Mon - Fri
Yes
Play Announcement (1282)
All specialist are assisting other callers, if you would like to use our self services, press 1. Otherwise hang up and try your call again later.
Pressed 1
Option 1 Transfer to Self Service Line 608-266-2323 (1-877-383-1888)
Page 17
No response the first time After 5 seconds.
Play Announcement (1197)
We're sorry but we did not get your response. Please select from the following options.
No response the second time After 5 seconds.
Play Announcement (5002)
Thank you for calling. Good bye.
Disconnect
No
Is CCA license capacity fulfilled?
No
Play announcement (1190)
Please hold while your call is being transferred.
Transfers call to CCA (26)7-8846
Yes
Play Announcement Member CCA License (1282)
All specialist are assisting other callers, if you would like to use our self services, press 1. Otherwise hang up and try your call again later.
Pressed 1
Option 1 Transfer to Self Service Line 608-266-2323 (1-877-383-1888)
Page 17
No response the first time After 5 seconds
Play Announcement (1197)
We're sorry but we did not get your response. Please select from the following options.
No response the second time After 5 seconds.
Play Announcement (5002)
Thank you for calling. Good bye.
Disconnect
7:00 AM to 4:50 PM Mon - Fri
No
Play announcement – Closed Message (Main Line: After Hours)
The Wisconsin Department of Employee Trust Funds is now closed. Our customer service call center hours are 7:00 am to 05:00 pm Monday through Friday. Access to the ETF building is 7:45am to 4:30pm Monday through Friday. You may access our automated services at this time by pressing 1 now or visit our ETF secure website at etf.wi.gov.
No Response the first time
Play Announcement(CCA system generated):
We're sorry, we did not get your response.
No Response the second time
Play Announcement(CCA system generated:
Good bye and thank you for calling
Disconnect
Pressed 1
Option 1 Transfer to Self Service Line 608-266-2323 (1-877-383-1888)
Page 17
Yes
Time check 4:50 PM – 5:00 PM Mon - Fri
Yes
Play Announcement (Main Line: Late PM)
All representatives are assisting other callers, if you would like to use our self services, press 1. Otherwise hang up and try your call again later.
Pressed 1
Option 1 Transfer to Self Service Line 608-266-2323 (1-877-383-1888)
Page 17
No response the first time
Play Announcement(CCA system generated):
We're sorry, we did not get your response.
No response the second time
Play Announcement(CCA system generated:
Good bye and thank you for calling.
Disconnect
No
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Last updated 03/27/13
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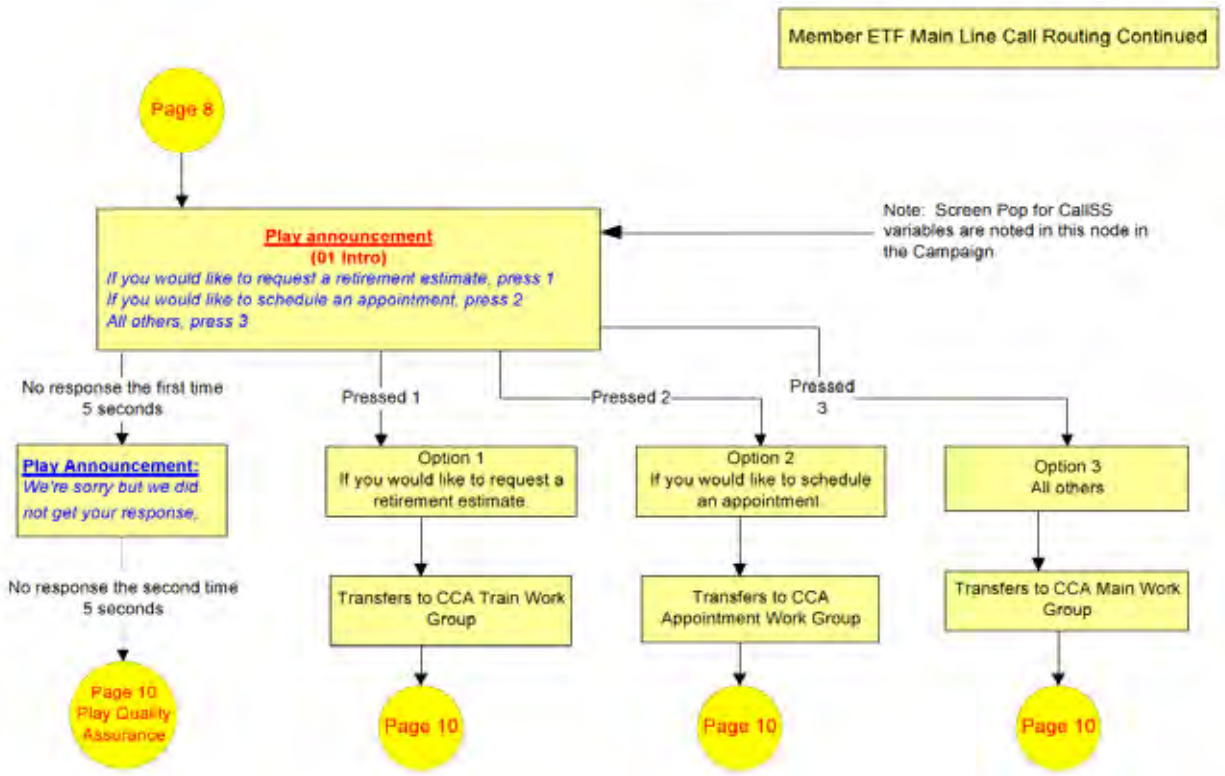
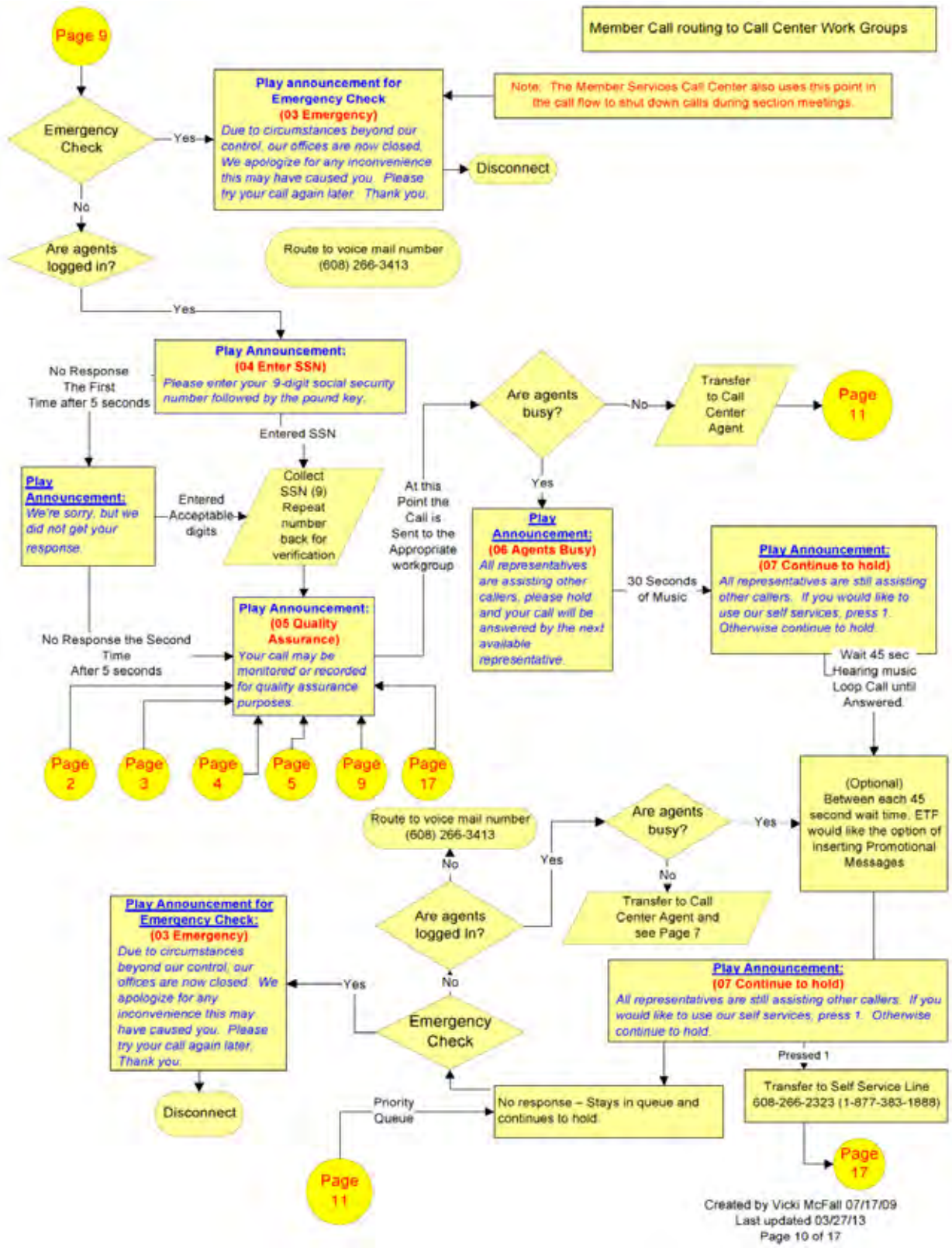
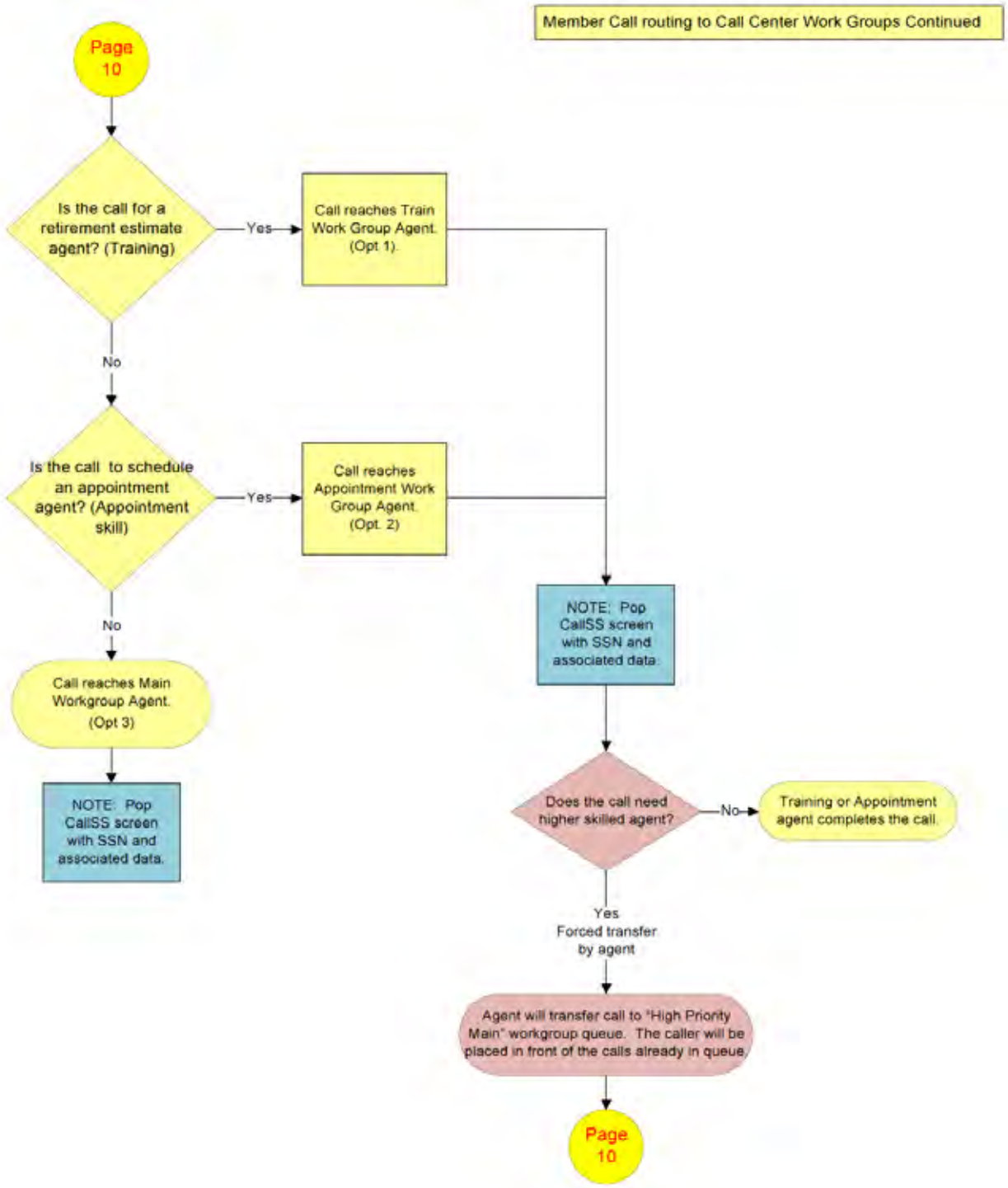
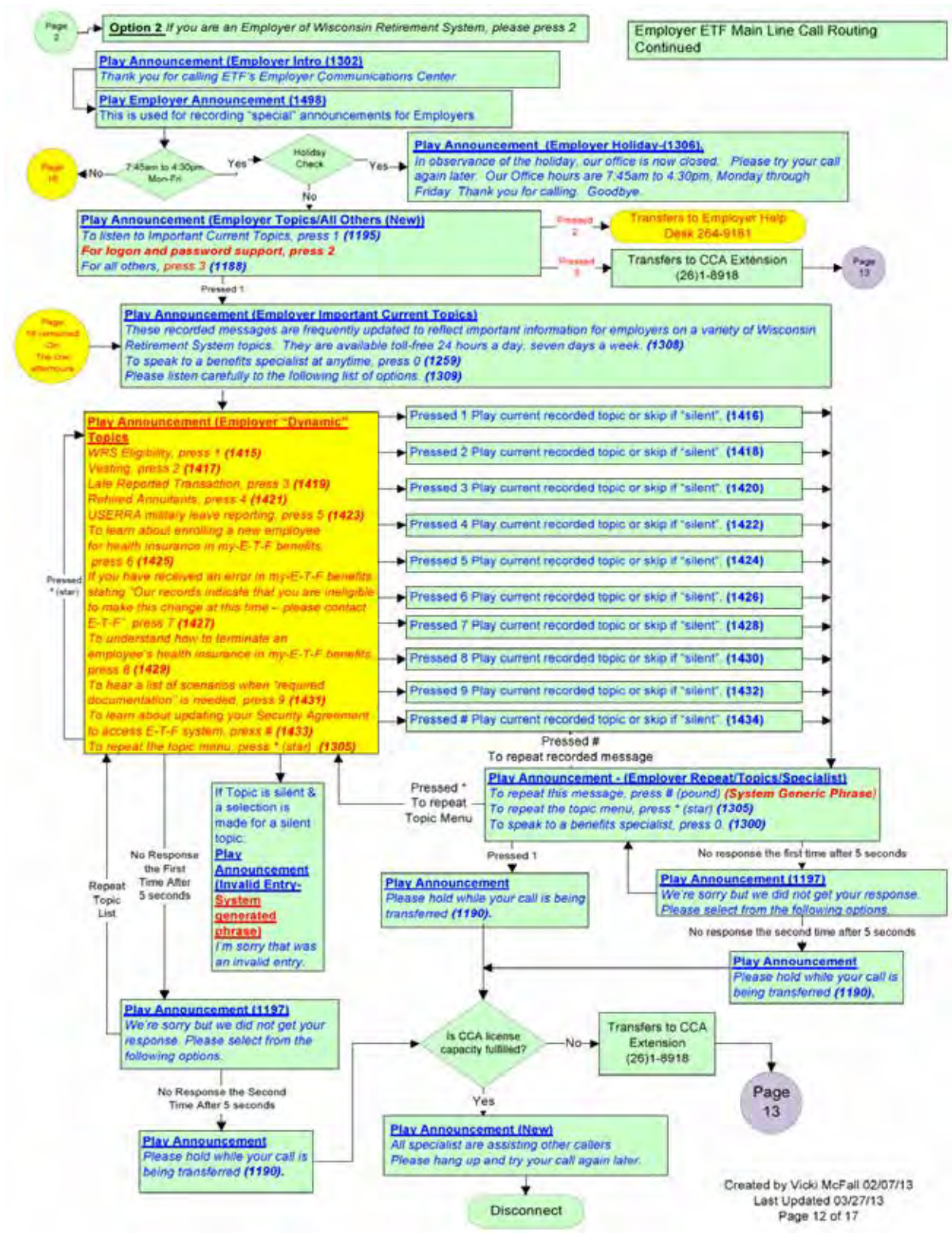
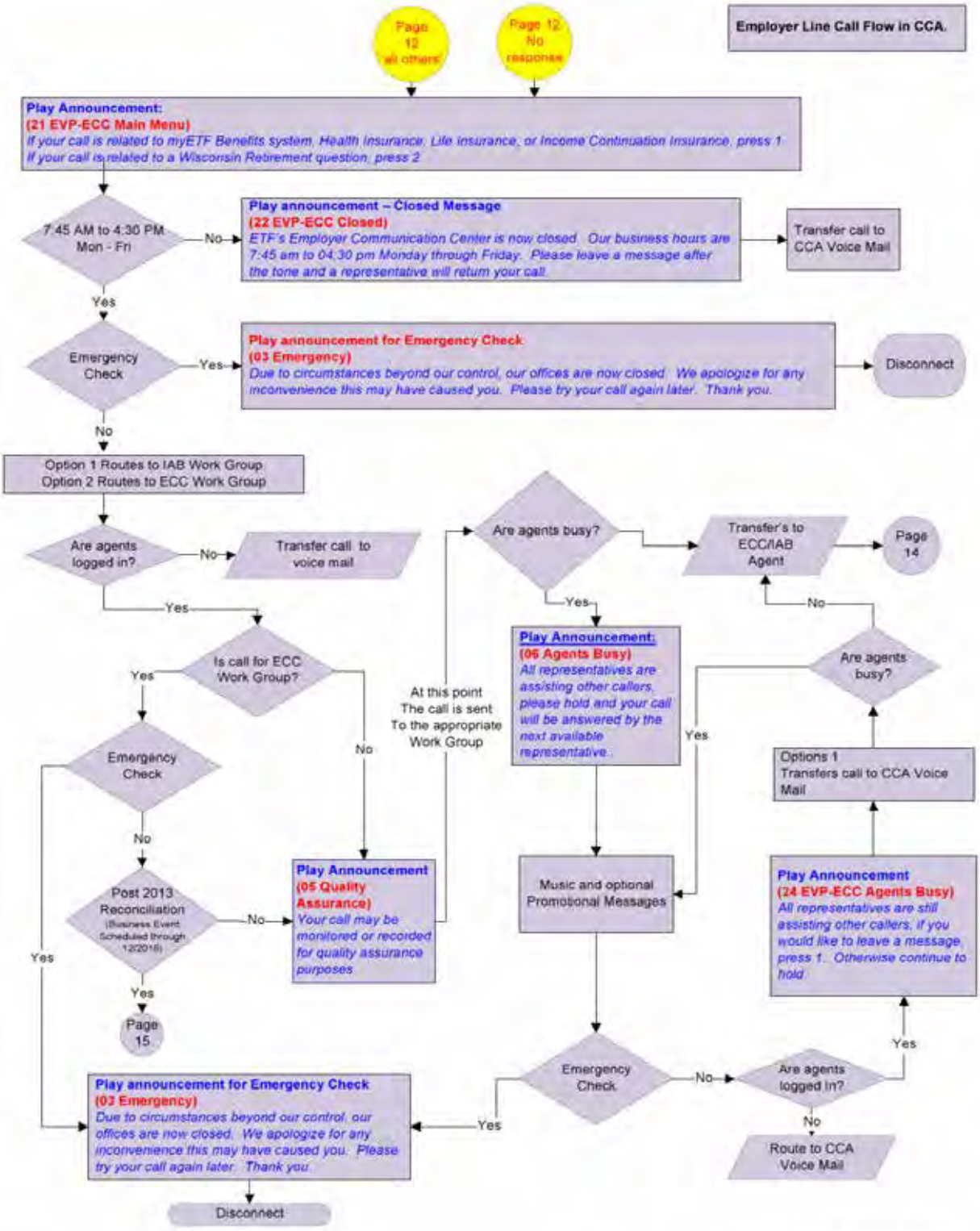

Member ETF Main Line Call Routing Continued
Page 8
Play announcement
(01 Intro)
If you would like to request a retirement estimate, press 1
If you would like to schedule an appointment, press 2
All others, press 3
Note: Screen Pop for CallSS variables are noted in this node in the Campaign
No response the first time 5 seconds
Pressed 1
Pressed 2
Pressed 3
Play Announcement:
We're sorry but we did not get your response.
Option 1
If you would like to request a retirement estimate
Option 2
If you would like to schedule an appointment
Option 3
All others
No response the second time 5 seconds
Transfers to CCA Train Work Group
Transfers to CCA Appointment Work Group
Transfers to CCA Main Work Group
Page 10 Play Quality Assurance
Page 10
Page 10
Page 10

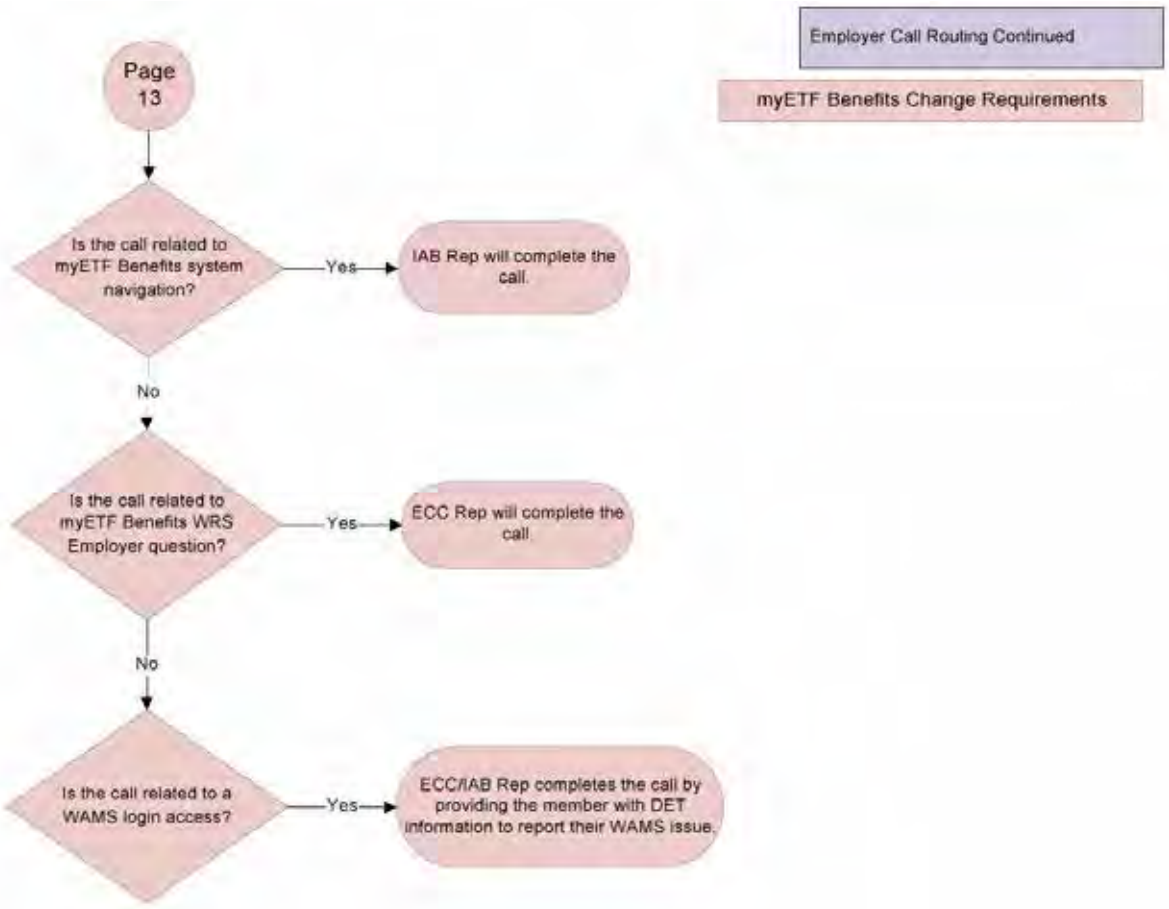

Page 9
Member Call routing to Call Center Work Groups
Emergency Check
Yes
Play announcement for Emergency Check (03 Emergency)
Due to circumstances beyond our control, our offices are now closed. We apologize for any inconvenience this may have caused you. Please try your call again later. Thank you.
Note: The Member Services Call Center also uses this point in the call flow to shut down calls during section meetings.
Disconnect
No
Are agents logged in?
Route to voice mail number (608) 266-3413
Yes
Play Announcement: (04 Enter SSN)
Please enter your 9-digit social security number followed by the pound key.
No Response The First Time after 5 seconds
Entered SSN
Are agents busy?
No
Transfer to Call Center Agent
Page 11
Play Announcement:
We're sorry, but we did not get your response.
Entered Acceptable digits
Collect SSN (9) Repeat number back for verification
At this Point the Call is Sent to the Appropriate workgroup
Yes
Play Announcement: (06 Agents Busy)
All representatives are assisting other callers, please hold and your call will be answered by the next available representative.
30 Seconds of Music
Play Announcement: (07 Continue to hold)
All representatives are still assisting other callers. If you would like to use our self services, press 1. Otherwise continue to hold.
Wait 45 sec Hearing music Loop Call until Answered.
No Response the Second Time After 5 seconds
Play Announcement: (05 Quality Assurance)
Your call may be monitored or recorded for quality assurance purposes.
Page 2
Page 3
Page 4
Page 5
Page 9
Page 17
Route to voice mail number (608) 266-3413
Are agents busy?
Yes
(Optional) Between each 45 second wait time, ETF would like the option of inserting Promotional Messages
No
Yes
No
Transfer to Call Center Agent and see Page 7
Are agents logged in?
Play Announcement for Emergency Check: (03 Emergency)
Due to circumstances beyond our control, our offices are now closed. We apologize for any inconvenience this may have caused you. Please try your call again later. Thank you.
Yes
No
Emergency Check
Play Announcement: (07 Continue to hold)
All representatives are still assisting other callers. If you would like to use our self services, press 1. Otherwise continue to hold.
Pressed 1
Transfer to Self Service Line 608-266-2323 (1-877-383-1888)
Disconnect
Priority Queue
No response – Stays in queue and continues to hold.
Page 17
Page 11
Created by Vicki McFall 07/17/09
Last updated 03/27/13
Page 10 of 17

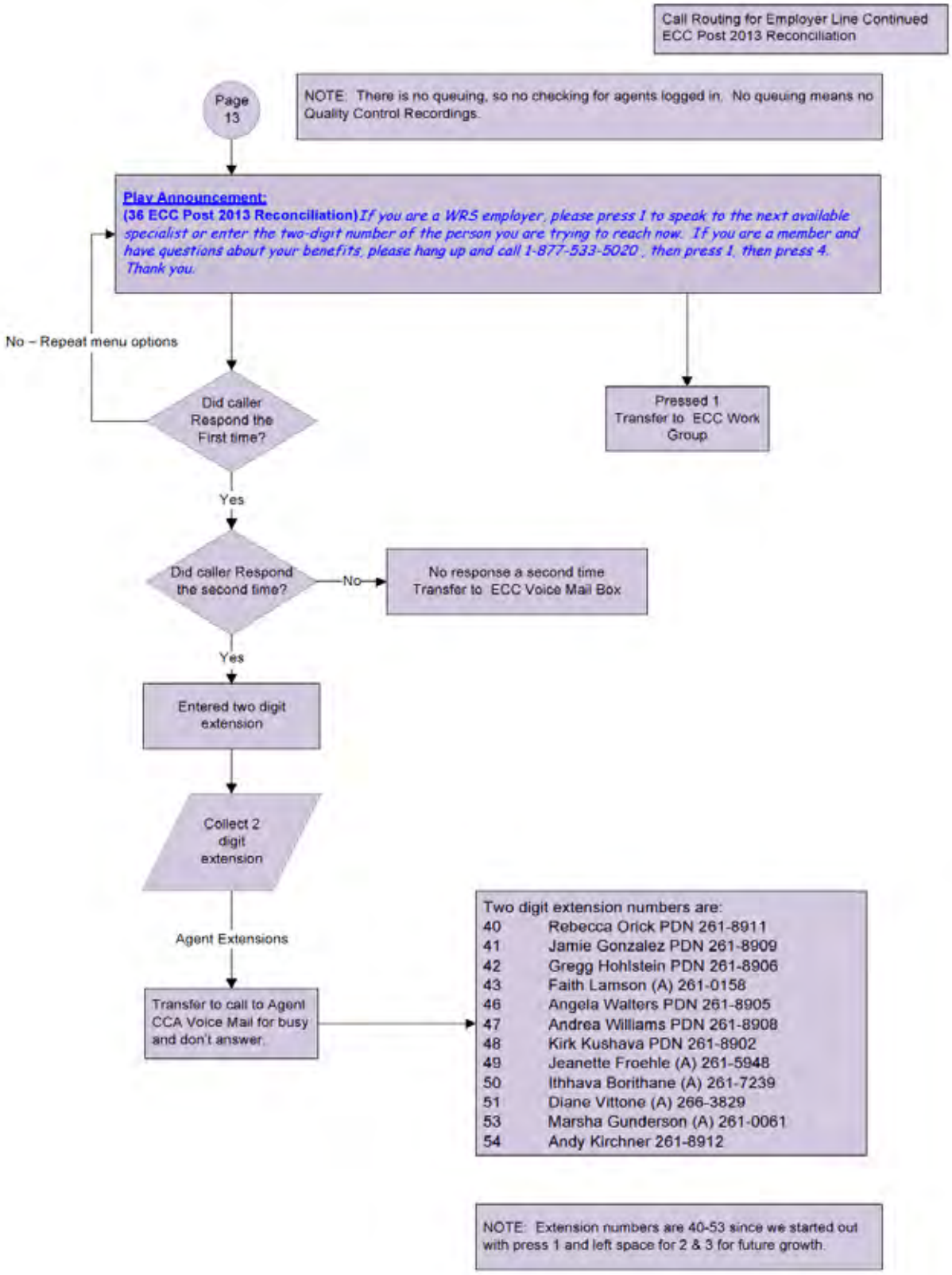


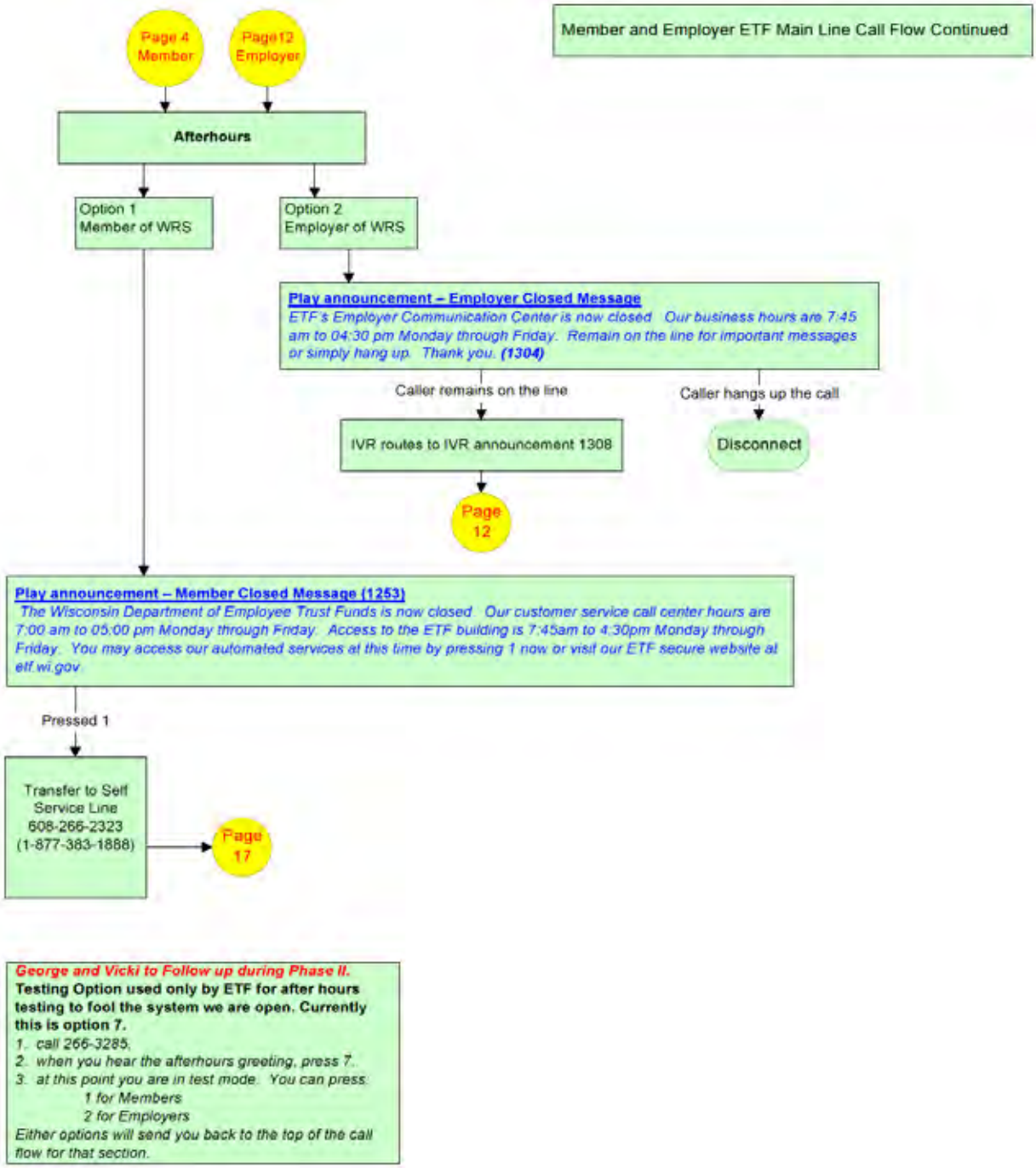
Created by Vicki McFall 07/17/09
Last updated 03/27/13
Page 11 of 17

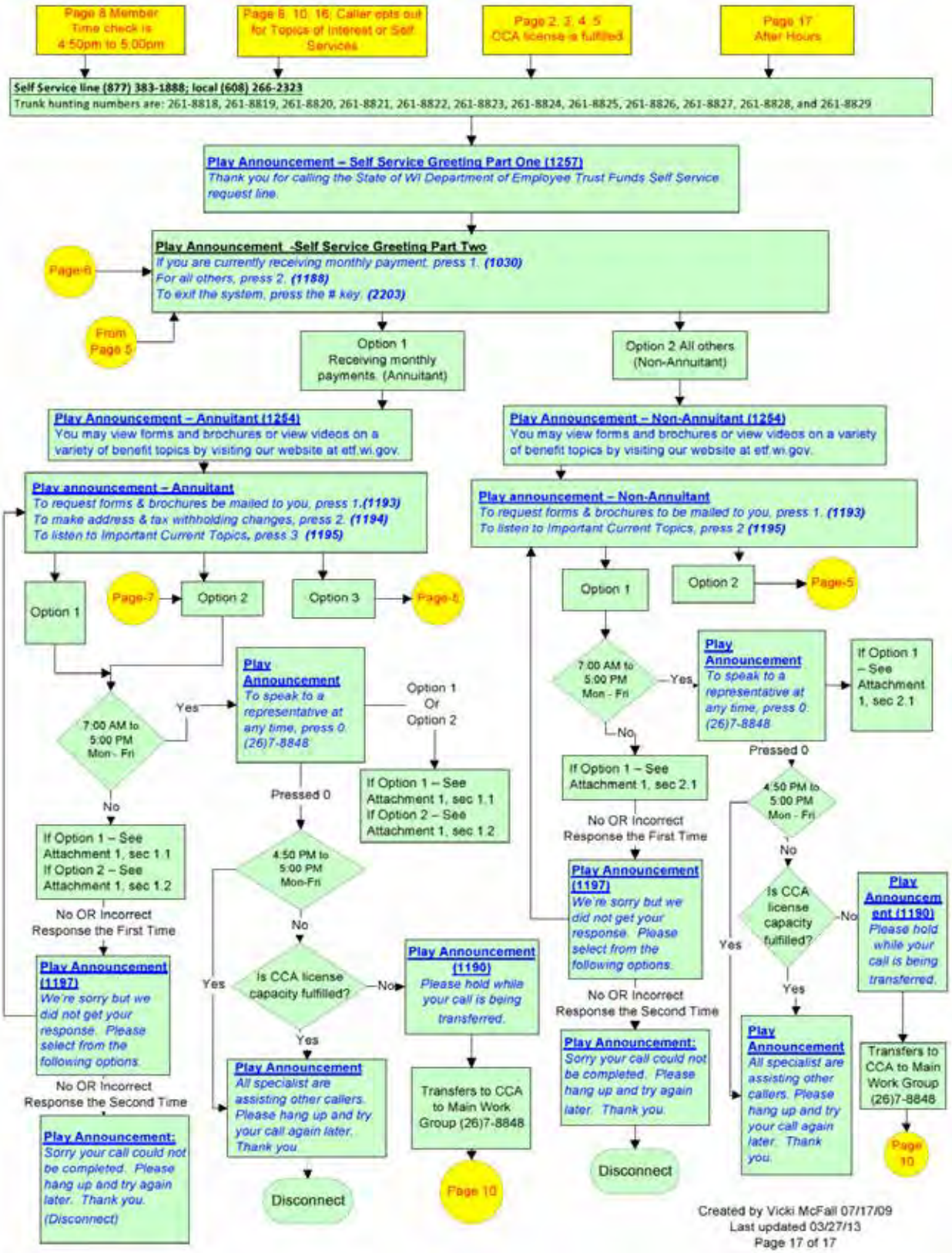

Page 2
Option 2 If you are an Employer of Wisconsin Retirement System, please press 2
Employer ETF Main Line Call Routing Continued
Play Announcement (Employer Intro (1302)
Thank you for calling ETF's Employer Communications Center.
Play Employer Announcement (1498)
This is used for recording "special" announcements for Employers.
Page 16
No
7:45am to 4:30pm Mon-Fri
Yes
Holiday Check
Yes
No
Play Announcement (Employer Holiday-(1306)
In observance of the holiday, our office is now closed. Please try your call again later. Our Office hours are 7:45am to 4:30pm, Monday through Friday. Thank you for calling. Goodbye.
Play Announcement (Employer Topics/All Others (New))
To listen to Important Current Topics, press 1 (1195)
For logon and password support, press 2
For all others, press 3 (1188)
Pressed 2
Transfers to Employer Help Desk 264-9161
Pressed 3
Transfers to CCA Extension (26)1-8918
Page 13
Pressed 1
Page 16 connected on the one afternoon
Play Announcement (Employer Important Current Topics)
These recorded messages are frequently updated to reflect important information for employers on a variety of Wisconsin Retirement System topics. They are available toll-free 24 hours a day, seven days a week. (1308)
To speak to a benefits specialist at anytime, press 0 (1259)
Please listen carefully to the following list of options. (1309)
Play Announcement (Employer "Dynamic" Topics
WRS Eligibility, press 1 (1415)
Vesting, press 2 (1417)
Late Reported Transaction, press 3 (1419)
Retired Annuitants, press 4 (1421)
USERRA military leave reporting, press 5 (1423)
To learn about enrolling a new employee for health insurance in my-E-T-F benefits, press 6 (1425)
If you have received an error in my-E-T-F benefits stating "Our records indicate that you are ineligible to make this change at this time – please contact E-T-F", press 7 (1427)
To understand how to terminate an employee's health insurance in my-E-T-F benefits, press 8 (1429)
To hear a list of scenarios when "required documentation" is needed, press 9 (1431)
To learn about updating your Security Agreement to access E-T-F system, press # (1433)
To repeat the topic menu, press * (star) (1305)
Pressed * (star)
Pressed 1 Play current recorded topic or skip if "silent". (1416)
Pressed 2 Play current recorded topic or skip if "silent". (1418)
Pressed 3 Play current recorded topic or skip if "silent". (1420)
Pressed 4 Play current recorded topic or skip if "silent". (1422)
Pressed 5 Play current recorded topic or skip if "silent". (1424)
Pressed 6 Play current recorded topic or skip if "silent". (1426)
Pressed 7 Play current recorded topic or skip if "silent". (1428)
Pressed 8 Play current recorded topic or skip if "silent". (1430)
Pressed 9 Play current recorded topic or skip if "silent". (1432)
Pressed # Play current recorded topic or skip if "silent". (1434)
Pressed #
To repeat recorded message
Pressed *
To repeat
Topic Menu
Play Announcement - (Employer Repeat/Topics/Specialist)
To repeat this message, press # (pound) (System Generic Phrase)
To repeat the topic menu, press * (star) (1305)
To speak to a benefits specialist, press 0. (1300)
If Topic is silent & a selection is made for a silent topic:
Play Announcement (Invalid Entry-System generated phrase)
I'm sorry that was an invalid entry.
No Response the First Time After 5 seconds
Repeat Topic List
Pressed 1
Play Announcement
Please hold while your call is being transferred (1190).
No response the first time after 5 seconds
Play Announcement (1197)
We're sorry but we did not get your response. Please select from the following options.
No response the second time after 5 seconds
Play Announcement
Please hold while your call is being transferred (1190).
Play Announcement (1197)
We're sorry but we did not get your response. Please select from the following options.
No Response the Second Time After 5 seconds
Play Announcement
Please hold while your call is being transferred (1190).
Is CCA license capacity fulfilled?
No
Transfers to CCA Extension (26)1-8918
Page 13
Yes
Play Announcement (New)
All specialist are assisting other callers
Please hang up and try your call again later.
Disconnect
Created by Vicki McFall 02/07/13
Last Updated 03/27/13
Page 12 of 17


Employer Line Call Flow in CCA.
Page 12 all others
Page 12 No response
Play Announcement:
(21 EVP-ECC Main Menu)
If your call is related to myETF Benefits system, Health Insurance, Life Insurance, or Income Continuation Insurance, press 1
If your call is related to a Wisconsin Retirement question, press 2
7:45 AM to 4:30 PM Mon - Fri
No
Play announcement – Closed Message
(22 EVP-ECC Closed)
ETF's Employer Communication Center is now closed. Our business hours are 7:45 am to 04:30 pm Monday through Friday. Please leave a message after the tone and a representative will return your call.
Transfer call to CCA Voice Mail
Yes
Emergency Check
Yes
Play announcement for Emergency Check
(03 Emergency)
Due to circumstances beyond our control, our offices are now closed. We apologize for any inconvenience this may have caused you. Please try your call again later. Thank you.
Disconnect
No
Option 1 Routes to IAB Work Group
Option 2 Routes to ECC Work Group
Are agents logged in?
No
Transfer call to voice mail
Yes
Is call for ECC Work Group?
Yes
No
Emergency Check
No
Post 2013 Reconciliation (Business Event Scheduled through 12/2016)
No
Play Announcement
(05 Quality Assurance)
Your call may be monitored or recorded for quality assurance purposes
Yes
Yes
Page 15
Play announcement for Emergency Check
(03 Emergency)
Due to circumstances beyond our control, our offices are now closed. We apologize for any inconvenience this may have caused you. Please try your call again later. Thank you.
Disconnect
At this point The call is sent To the appropriate Work Group
Are agents busy?
Yes
Play Announcement:
(05 Agents Busy)
All representatives are assisting other callers, please hold and your call will be answered by the next available representative.
Music and optional Promotional Messages
Emergency Check
Yes
No
Are agents logged in?
No
Route to CCA Voice Mail
Yes
Play Announcement
(24 EVP-ECC Agents Busy)
All representatives are still assisting other callers; if you would like to leave a message, press 1. Otherwise continue to hold.
Options 1 Transfers call to CCA Voice Mail
Are agents busy?
Yes
No
Transfer's to ECC/IAB Agent
Page 14
Created by Vicki McFall 09/01/10
Last Updated 03/27/13
Page 13 of 17


Employer Call Routing Continued
myETF Benefits Change Requirements
Page 13
Is the call related to myETF Benefits system navigation?
Yes
IAB Rep will complete the call.
No
Is the call related to myETF Benefits WRS Employer question?
Yes
ECC Rep will complete the call.
No
Is the call related to a WAMS login access?
Yes
ECC/IAB Rep completes the call by providing the member with DET information to report their WAMS issue.


Call Routing for Employer Line Continued
ECC Post 2013 Reconciliation
Page 13
NOTE: There is no queuing, so no checking for agents logged in. No queuing means no Quality Control Recordings.
Play Announcement:
(36 ECC Post 2013 Reconciliation) If you are a WRS employer, please press 1 to speak to the next available specialist or enter the two-digit number of the person you are trying to reach now. If you are a member and have questions about your benefits, please hang up and call 1-877-533-5020 , then press 1, then press 4. Thank you.
No – Repeat menu options
Did caller Respond the First time?
Pressed 1 Transfer to ECC Work Group
Yes
Did caller Respond the second time?
No
No response a second time Transfer to ECC Voice Mail Box
Yes
Entered two digit extension
Collect 2 digit extension
Agent Extensions
Transfer to call to Agent CCA Voice Mail for busy and don't answer.
Two digit extension numbers are:
40 Rebecca Orick PDN 261-8911
41 Jamie Gonzalez PDN 261-8909
42 Gregg Hohlstein PDN 261-8906
43 Faith Lamson (A) 261-0158
46 Angela Walters PDN 261-8905
47 Andrea Williams PDN 261-8908
48 Kirk Kushava PDN 261-8902
49 Jeanette Froehle (A) 261-5948
50 Ithhava Borithane (A) 261-7239
51 Diane Vittone (A) 266-3829
53 Marsha Gunderson (A) 261-0061
54 Andy Kirchner 261-8912
NOTE: Extension numbers are 40-53 since we started out with press 1 and left space for 2 & 3 for future growth.


Member and Employer ETF Main Line Call Flow Continued
Page 4 Member
Page12 Employer
Afterhours
Option 1 Member of WRS
Option 2 Employer of WRS
Play announcement – Employer Closed Message
ETF's Employer Communication Center is now closed. Our business hours are 7:45 am to 04:30 pm Monday through Friday. Remain on the line for important messages or simply hang up. Thank you. (1304)
Caller remains on the line
Caller hangs up the call
IVR routes to IVR announcement 1308
Disconnect
Page 12
Play announcement – Member Closed Message (1253)
The Wisconsin Department of Employee Trust Funds is now closed. Our customer service call center hours are 7:00 am to 05:00 pm Monday through Friday. Access to the ETF building is 7:45am to 4:30pm Monday through Friday. You may access our automated services at this time by pressing 1 now or visit our ETF secure website at etf.wi.gov.
Pressed 1
Transfer to Self Service Line 608-266-2323 (1-877-383-1888)
Page 17
George and Vicki to Follow up during Phase II.
Testing Option used only by ETF for after hours testing to fool the system we are open. Currently this is option 7.
1. call 266-3285.
2. when you hear the afterhours greeting, press 7.
3. at this point you are in test mode. You can press:
1 for Members
2 for Employers
Either options will send you back to the top of the call flow for that section.


Page 8 Member Time check is 4:50pm to 5:00pm
Page 6, 10, 16, Caller opts out for Topics of Interest or Self Services
Page 2, 3, 4, 5 CCA license is fulfilled
Page 17 After Hours
Self Service line (877) 383-1888; local (608) 266-2323
Trunk hunting numbers are: 261-8818, 261-8819, 261-8820, 261-8821, 261-8822, 261-8823, 261-8824, 261-8825, 261-8826, 261-8827, 261-8828, and 261-8829
Play Announcement – Self Service Greeting Part One (1257)
Thank you for calling the State of WI Department of Employee Trust Funds Self Service request line.
Page-6
Play Announcement -Self Service Greeting Part Two
If you are currently receiving monthly payment, press 1. (1030)
For all others, press 2. (1188)
To exit the system, press the # key. (2203)
From Page 5
Option 1 Receiving monthly payments. (Annuitant)
Option 2 All others (Non-Annuitant)
Play Announcement – Annuitant (1254)
You may view forms and brochures or view videos on a variety of benefit topics by visiting our website at etf.wi.gov.
Play Announcement – Non-Annuitant (1254)
You may view forms and brochures or view videos on a variety of benefit topics by visiting our website at etf.wi.gov.
Play announcement – Annuitant
To request forms & brochures be mailed to you, press 1.(1193)
To make address & tax withholding changes, press 2. (1194)
To listen to Important Current Topics, press 3. (1195)
Play announcement – Non-Annuitant
To request forms & brochures to be mailed to you, press 1. (1193)
To listen to Important Current Topics, press 2 (1195)
Option 1
Page-7
Option 2
Option 3
Page-8
Option 1
Option 2
Page-5
7:00 AM to 5:00 PM Mon - Fri
Yes
No
Play Announcement
To speak to a representative at any time, press 0. (26)7-8848
Option 1 Or Option 2
If Option 1 – See Attachment 1, sec 1.1
If Option 2 – See Attachment 1, sec 1.2
Pressed 0
4:50 PM to 5:00 PM Mon-Fri
Is CCA license capacity fulfilled?
Play Announcement (1190)
Please hold while your call is being transferred.
Transfers to CCA to Main Work Group (26)7-8848
Page 10
Play Announcement
All specialist are assisting other callers. Please hang up and try your call again later. Thank you.
Disconnect
If Option 1 – See Attachment 1, sec 1.1
If Option 2 – See Attachment 1, sec 1.2
No OR Incorrect Response the First Time
Play Announcement (1197)
We're sorry but we did not get your response. Please select from the following options.
No OR Incorrect Response the Second Time
Play Announcement:
Sorry your call could not be completed. Please hang up and try again later. Thank you. (Disconnect)
If Option 1 – See Attachment 1, sec 2.1
Play Announcement (1197)
We're sorry but we did not get your response. Please select from the following options.
Play Announcement:
Sorry your call could not be completed. Please hang up and try again later. Thank you.
Disconnect
Play Announcement
To speak to a representative at any time, press 0. (26)7-8848
If Option 1 – See Attachment 1, sec 2.1
Pressed 0
4:50 PM to 5:00 PM Mon - Fri
Is CCA license capacity fulfilled?
Play Announcement (1190)
Please hold while your call is being transferred.
Transfers to CCA to Main Work Group (26)7-8848
Page 10
Play Announcement
All specialist are assisting other callers. Please hang up and try your call again later. Thank you.
Created by Vicki McFall 07/17/09
Last updated 03/27/13
Page 17 of 17

E.25 SECURITY AND CONFIDENTIALITY AGREEMENT

Department of Employee Trust Funds

Security and Confidentiality Agreement

for
Department of Revenue, *Rimrock Road State Office Building*

Certification of Understanding

I have been informed of federal and Wisconsin confidentiality laws and will abide by those laws. These laws include secs. 7431, 7213, and 7213A, IRC, and secs. 71.78, 77.61(5) Wis. Stats.

I understand that I may not disclose or circulate any confidential taxpayer information unless authorized to do so.

I understand that I may not browse confidential taxpayer information (either in paper, or electronic form, and any other means) unless I am authorized to do so. As part of this I understand I cannot access taxpayer information relating to myself, family members, friends, acquaintances, and co-workers.

I understand that I must safeguard confidential taxpayer information and dispose of it properly.

I also have been provided and have reviewed the Department of Revenue security and Privacy policies. I understand that I must follow these policies and failure to follow these policies could lead to termination of my employment with the Department of Employee Trust Funds.

I understand that if I have any questions or concerns as to whether any access or inspection is authorized, or in regard to any other confidential issue, it is my responsibility to ask my supervisor or to contact the Department of Revenue's Privacy Officer at 266-8025 and ETF's Privacy Officer at 267-2354.

_____
Name (Print)

_____
Signature ***Date***

_____
Division/Bureau/Section/Unit/Job Title

( ) _____
Business Phone Number

PART F ATTACHMENTS

F.1 PROPOSAL COVER PAGE (DOA 3261)

State of Wisconsin
DOA-3261 (R08/2003)
s. 16.75, Wis. Statutes

PROPOSALS MUST BE SEALED AND ADDRESSED TO: ☐ Remove from vendor list for this commodity/service. (Return this page only.)

AGENCY ADDRESS:

Department of Employee Trust Funds
801 West Badger Road
Madison, WI 53713-2526

REQUEST FOR PROPOSAL

THIS IS NOT AN ORDER

VENDOR (Name and Address)

Proposal envelope must be sealed and plainly marked in lower corner with due date and Request for Proposal **ETC0003**. Late proposals shall be rejected. The soliciting purchasing office on or before the date and time that the proposal is due MUST date and time stamp proposals. Proposals dated and time stamped in another office shall be rejected. Receipt of a proposal by the mail system does not constitute receipt of a proposal by the purchasing office. Any proposal that is inadvertently opened as a result of not being properly and clearly marked is subject to rejection. Proposals must be submitted separately, i.e., not included with sample packages or other proposals. Proposal openings are public unless otherwise specified. Records will be available for public inspection after issuance of the notice of intent to award or the award of the contract. Vendor should contact person named below for an appointment to view the proposal record. Proposals shall be firm for acceptance for 180 days from date of proposal opening, unless otherwise noted. The attached terms and conditions apply to any subsequent award.

Proposals MUST be in this office no later than	Public Opening ☐
TBD	No Public Opening **X**
Name (Contact for further information) Mark Blank	
Phone 608.266.8989	Date June 13, 2013
Quote Price and Delivery FOB Head Quarters – Madison WI	

Description

Benefits Administration System Request for Proposal (RFP) for the Department of Employee Trust Funds (ETF)
RFP amendments, questions and answers will be posted on the ETF Website at http://etfextranet.it.state.wi.us and will not be mailed.

Payment Terms:	Delivery Time:

We claim minority bidder preference s. 16.75(3m) Wis. Stats.. Under Wisconsin Statutes, a 5% preference may be granted to CERTIFIED Minority Business Enterprises. The Wisconsin Department of Commerce must certify the bidder. If you have questions concerning the certification process, contact the Wisconsin Department of Commerce, 5th Floor, 201 W. Washington Ave., Madison, Wisconsin 53702, (608) 267-9550.
☐Yes ☐No ☐Unknown

We are a work center certified under s. 16.752 Wis. Stats. employing persons with severe disabilities. Questions concerning the certification process should be addressed to the Work Center Program, State Bureau of Procurement, 6th Floor, 101 E. Wilson St., Madison, Wisconsin 53702, (608) 266-2605.
☐Yes ☐No ☐Unknown

Wis. Stats. s. 16.754 directs the State to purchase materials which are manufactured to the greatest extent in the United States when all other factors are substantially equal. Materials covered in our proposal were manufactured in whole or in substantial part within the United States, or the majority of the component parts thereof were manufactured in whole or in substantial part in the United States.
☐Yes ☐No ☐Unknown

In signing this proposal we also certify that we have not, either directly or indirectly, entered into any agreement or participated in any collusion or otherwise taken any action in restraint of free competition; that no attempt has been made to induce any other person or firm to submit or not to submit a proposal; that this proposal has been independently arrived at without collusion with any other vendor, competitor or potential competitor; that this proposal has not been knowingly disclosed prior to the opening of proposals to any other vendor or competitor; that the above statement is accurate under penalty of perjury.
We will comply with all terms, conditions and specifications required by the State in this Request for Proposal and all terms of our proposals

Name of Authorized Company Representative (Type or Print)	Title	Phone ( )
		Fax ( )

Signature of Above	Date	Federal Employer Identification No.	Social Security No. if Sole Proprietor (Voluntary)

This form can be made available in accessible formats upon request to qualified individuals with disabilities.

F.2 PROPOSER'S CHECKLIST

RFP ETC0003

Mandatory

This attachment must be completed with proposal.

( ) 1. PROPOSAL COVER PAGE SIGNED (DOA-3261 – Attachment F.1))

( ) 2. TRANSMITTAL LETTER (Section D.1.1)

( ) 3. AGREEMENTS

Attachment F.2 – Proposer's Checklist (this document)

Attachment F.3 – Mandatory Requirements

Attachment F.4 – Designation of Confidential and Proprietary Information

Statement of acceptance of Terms and Conditions as expressed in:

- RFP Appendix E.2 Standard Terms and Conditions (DOA-3054)
- RFP Appendix E.3 Supplemental Standard Terms and Conditions for Procurements for Services (DOA-3681), and
- RFP Section A.3 General Terms and Conditions

Attachment F.5 – Vendor Client Reference Form(s)

( ) 4. RESPONSE TO SECTION C.1 Mandatory Qualifications

( ) 5. RESPONSE TO SECTIONS C.2-C.8

( ) 6. RESPONSE TO SECTION C.9 Options

( ) 6. RESPONSE TO SECTION C.10 Distinction

( ) 7. ASSUMPTIONS AND EXCEPTIONS

( ) 8. COST PROPOSAL (Separate document)

PROPOSING VENDOR NAME:

DATE:

_____

_____

AUTHORIZED REPRESENTATIVE:

_____

F.3 MANDATORY REQUIREMENTS

RFP ETC0003

Mandatory

This attachment must be completed with proposal.

The following requirements are mandatory and must be met by all vendors submitting proposals. Failure to comply with one or more of the mandatory requirements may disqualify the proposal. However, if you disagree with any of the statements below, ETF may consider your proposal only if the issue is addressed in Proposal Tab 5 – Assumptions and Exceptions.

MANDATORY REQUIREMENTS	CHECK ONE	
	AGREE	DISAGREE
1. The Proposer must meet the mandatory qualifications as described in Sections C.1.1 and C.1.2 of this RFP.		
2. The Proposer agrees to adhere to all ETF Department standards, policies and procedures while on-site at ETF and in all work performed with and for ETF. Any exceptions to this statement must be cleared, in writing, by ETF.		
3. The Proposer has no conflict of interest with regard to any other work performed for the State of Wisconsin.		
4. The Proposer must propose a team of consultants who have worked (not necessarily as a single team) previously in public retirement administration implementation projects for comparable clients (as defined in Section C.1.1 while in the vendor's employment and comply with the requirement(s) in Section C.1.3		

F.4 DESIGNATION OF CONFIDENTIAL AND PROPRIETARY INFORMATION (DOA 3027)

RFP ETC0003

Mandatory

This attachment (the form on the next page) must be completed with proposal.

STATE OF WISCONSIN

DOA-3027 N(R01/98)

DESIGNATION OF CONFIDENTIAL AND PROPRIETARY INFORMATION

The attached material submitted in response to Bid/Proposal #ETC0003 includes proprietary and confidential information which qualifies as a trade secret, as provided in s. 19.36(5), Wis. Stats., or is otherwise material that can be kept confidential under the Wisconsin Open Records Law. As such, we ask that certain pages, as indicated below, of this bid/proposal response be treated as confidential material and not be released without our written approval.

Prices always become public information when bids/proposals are opened, and therefore cannot be kept confidential.

Other information cannot be kept confidential unless it is a trade secret. Trade secret is defined in s. 134.90(1)(c), Wis. Stats. as follows: "Trade secret" means information, including a formula, pattern, compilation, program, device, method, technique or process to which all of the following apply:

1. The information derives independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use.
2. The information is the subject of efforts to maintain its secrecy that are reasonable under the circumstances.

We request that the following pages not be released

Section	Page #	Topic

IN THE EVENT THE DESIGNATION OF CONFIDENTIALITY OF THIS INFORMATION IS CHALLENGED, THE UNDERSIGNED HEREBY AGREES TO PROVIDE LEGAL COUNSEL OR OTHER NECESSARY ASSISTANCE TO DEFEND THE DESIGNATION OF CONFIDENTIALITY AND AGREES TO HOLD THE STATE HARMLESS FOR ANY COSTS OR DAMAGES ARISING OUT OF THE STATE'S AGREEING TO WITHHOLD THE MATERIALS.

Failure to include this form in the bid/proposal response may mean that all information provided as part of the bid/proposal response will be open to examination and copying. The state considers other markings of confidential in the bid/proposal document to be insufficient. The undersigned agrees to hold the state harmless for any damages arising out of the release of any materials unless they are specifically identified above.

Company Name

Authorized Representative

Signature

Authorized Representative

Type or Print

Date

This document can be made available in accessible formats to qualified individuals with disabilities.

F.5 VENDOR CLIENT REFERENCE FORM

Form 1. Vendor Client Reference Form

WISCONSIN EMPLOYEE TRUST FUNDS BENEFITS ADMINISTRATION SYSTEM PROJECT – VENDOR CLIENT REFERENCE			
Reference #:	**Vendor Name:**	**Project Name:**	
Client:		**Client Address:**	
Type of Organization:			
Client Phone:			
Contact Name:		**Contact Address:**	
Contact Title:			
Contact Phone:		**Contact Email Address:**	
Characterize Membership:	**Employers (break down by type):**	**Characterize DB & DC Plans:**	**Characterize Insurance Plans:**
Start Date:	**End Date:**	**Initial Project Cost:**	**Final Project Cost:**
Hardware Configuration:		**Description of Application:**	
Project Summary (business problem, scope, approach, resources applied, and volatility index for the entire project, i.e. whether proposer staff who started the project finished the project, and if not, how many left during the course of the project, what their role was, who left, and why they left):			

Major Subcontractors Supporting the Referenced Project – **Subcontractors:** **Roles:**
Similarity to ETF Project:
List all vendor staff members proposed to ETF who also supported the referenced project: **Staff Member Name:** **Proposed Role for ETF:** **Role on Referenced Project:**

F.6 VENDOR STAFF RESUME FORM

Form 2 Vendor Staff Resume Summary Form

WISCONSIN EMPLOYEE TRUST FUNDS BENEFITS ADMINISTRATION SYSTEM PROJECT – RESUME SUMMARY		
Staff Member Name:		
Proposed Role on ETF Project:		
Number of years of professional experience – **Total:**	**Retirement system:**	**In role proposed for ETF project:**
Education (indicate institutions attended and degrees obtained):		
Professional Reference #1		
Client Name and Address:	**Project Title:**	
	Staff Member's Role on Project:	
Contact Name:	**Description of Services Provided:**	
Contact Title:		
Contact Phone: **Contact E-mail:**		
Start Date:	**End Date:**	
Professional Reference #2		

Client Name and Address:		**Project Title:**
		Staff Member's Role on Project:
Contact Name:		**Description of Services Provided:**
Contact Title:		
Contact Phone: **Contact E-mail:**		
Start Date:	**End Date:**	
Professional Reference #3		
Client Name and Address:		**Project Title:**
		Staff Member's Role on Project:
Contact Name:		**Description of Services Provided:**
Contact Title:		
Contact Phone: **Contact E-mail:**		
Start Date:	**End Date:**	

F.7 SAMPLE BUSINESS ASSOCIATE AGREEMENT

BUSINESS ASSOCIATE AGREEMENT

This Business Associate Agreement ("Agreement") is by and between BUSINESS ASSOCIATE ("XYZ") and the Wisconsin Department of Employee Trust Funds ("ETF"), and acting on behalf of the State of Wisconsin.

RECITALS:

WHEREAS, ETF and BUSINESS ASSOCIATE have executed a contract, pursuant to which BUSINESS ASSOCIATE provides XYZ ("Underlying Contract"), and in connection with those services ETF discloses or allows the disclosure to BUSINESS ASSOCIATE of certain information that is subject to protection by the Health Insurance Portability and Accountability Act of 1996, ("HIPAA") and the Health Information Technology for Economic and Clinical Health Act of 2009 as passed as part of ARRA ("HITECH") and their implementing regulations, Title 45, Parts 160 through 164 of the Code of Federal Regulations, as well as by laws and administrative rules of the State of Wisconsin; and

WHEREAS, with respect to its activities pursuant to the Underlying Contract, BUSINESS ASSOCIATE is ETF's Business Associate as that term is defined by HIPAA; and

WHEREAS, it is the intent of this Agreement to comply with state law and with the federal regulations implementing HIPAA and HITECH concerning the privacy, security and transaction standards in 45 C.F.R. Parts 160 to 164, inclusive,

WHEREAS, ETF and BUSINESS ASSOCIATE agree to incorporate the terms of this Agreement into the Underlying Contract and agree to incorporate this Agreement into any associated addenda and contract extensions, in order to comply with HIPAA, HITECH and state law.

NOW, THEREFORE, in consideration of these premises and the mutual promises and **agreements hereinafter set forth, ETF and BUSINESS ASSOCIATE hereby agree as follows:**

DEFINITIONS:

It is the intent of this Agreement to comply with the federal regulations implementing HIPAA and HITECH concerning the privacy, security and transaction standards, including the definitions in 45 C.F.R. Parts 160 to 164, inclusive, as applicable. This Agreement also addresses compliance with Wisconsin laws on confidentiality of personal information. In particular, the following words and phrases in this Agreement have the meanings set forth below, unless the context clearly requires otherwise:

"ARRA" means the American Recovery and Reinvestment Act of 2009.

"Individual Personal Information" has the meaning set forth in Wis. Admin. Code § ETF 10.70 (1).

"Medical Record" has the meaning set forth in Wis. Admin. Code § ETF 10.01 (3m).

"Personal Information" is information that can be used to identify a person and includes, without limitation, **Individually Identifiable Health Information, Individual Personal Information, Medical Records and Protected Health Information.**

"Third Party" means a party other than a subcontractor or agent that ETF has approved.

PART I – OBLIGATIONS OF BUSINESS ASSOCIATE

A. **Uses and Disclosures**. BUSINESS ASSOCIATE may use or disclose Personal Information it creates for or receives from ETF or any other Business Associate of ETF for only the following, limited purposes:

1. Permitted Uses and Disclosures of Personal Information. BUSINESS ASSOCIATE is permitted to use and disclose Personal Information:

   (a) To conduct ABC and XYZ in accordance with the Underlying Contract.

   (b) Subject to the limitations on Uses and Disclosures outlined in this Business Associate Agreement, specifically including the State Law Restrictions in Part I, Section B, BUSINESS ASSOCIATE is authorized to use and disclose Personal Information as necessary for BUSINESS ASSOCIATE's proper management and administration, to carry out BUSINESS ASSOCIATE's legal responsibilities, and as otherwise Required by Law.

2. Prohibition on Unauthorized Use or Disclosure. BUSINESS ASSOCIATE will not use or disclose Personal Information it creates for or receives from ETF or from another Business Associate of ETF, except as authorized or required by this Agreement or as Required by Law or as otherwise authorized in writing by ETF, including, without limitation, marketing and solicitation of business outside the Underlying Contract and disclosure of such information to third-parties.

3. Compliance with Regulations. BUSINESS ASSOCIATE will comply with:

   (a) 45 C.F.R. Parts 160 to 164, inclusive, as applicable to a "Business Associate" of a "Covered Entity" and any other regulations adopted pursuant to HIPAA and HITECH; and

   (b) Applicable State Law not preempted by 45 C.F.R §§ 160.201 to 160.203, inclusive, or any other federal law.

4. State Law Restrictions. BUSINESS ASSOCIATE shall comply with Wis. Stat. §§ 40.07 and 134.98 with respect to information BUSINESS ASSOCIATE creates for or receives from ETF or from any other Business Associate of ETF. In particular:

   (a) Any Third Party request, including a subpoena, for disclosure of Personal Information, including, without limitation, Medical Records or Individually Identifiable Health Information, shall be referred to ETF in a timely manner; and

   (b) BUSINESS ASSOCIATE shall not disclose to any Third Party Individual Personal Information which ETF itself may not disclose pursuant to Wis. Stat. § 40.07(1), or of Medical Records that ETF itself may not disclose pursuant to Wis. Stat § 40.07(2).

B. Compliance with Standard Transactions.

1. Standard Transactions Conducted By BUSINESS ASSOCIATE. If BUSINESS ASSOCIATE conducts, in whole or in part, transactions, for or on behalf of ETF that are covered by 45 C.F.R Part 162, BUSINESS ASSOCIATE will comply with the applicable HIPAA transactions standards, and will require any subcontractor or agent involved with the conduct of such transactions to provide reasonable assurances, evidenced by written contract, that it will comply with each applicable requirement of 45 CFR Part 162. Further, BUSINESS ASSOCIATE will require that each of its subcontractors or agents provide assurances, by

written contract, that it will not enter into a Trading Partner Agreement, in connection with its conduct of Standard Transactions for and on behalf of ETF that:

(a) Changes the definition, data condition, or use of a data element or segment in a Standard Transaction;

(b) Adds any data element or segment to the maximum data set;

(c) Uses any code or data element that either is not in the Standard Transaction's implementation specification or is marked "not used" by the Standard Transaction's implementation specifications;

(d) Changes the meaning or intent of the Standard Transaction's implementation specifications; or

(e) Otherwise violates 45 CFR §162.915.

2. Communications Between the Parties. Communications between ETF and BUSINESS ASSOCIATE that are required to meet HIPAA transactions standards will meet the standards set by 45 CFR Part 162. For all other communications, the forms, tape formats or electronic formats used shall be those mutually agreed upon by ETF and BUSINESS ASSOCIATE.

C. **Information Safeguards**. BUSINESS ASSOCIATE will develop, implement, maintain and use reasonable and appropriate administrative, technical and physical safeguards to preserve the integrity and confidentiality of Personal Information under the control of BUSINESS ASSOCIATE, and to prevent intentional or unintentional non-permitted or violating use or disclosure of Protected Health Information. BUSINESS ASSOCIATE will document and keep these safeguards current and furnish documentation of the safeguards to ETF upon request. These safeguards will comply with HIPAA, HITECH and their implementing regulations.

D. **Reporting of Breach, Improper Use or Disclosure and Security Incidents.**

Reporting of Breach, Improper Use or Disclosure. BUSINESS ASSOCIATE will report to ETF the discovery of any breach, use or disclosure of Personal Information, not allowed by this Agreement or in violation of 45 C.F.R. Part 164 or HITECH. An occurrence of a breach, improper use or disclosure or security incident is considered to be discovered as of the first day on which such occurrence is known to BUSINESS ASSOCIATE, or, by exercising reasonable diligence, would have been known to BUSINESS ASSOCIATE.

1. BUSINESS ASSOCIATE shall provide notice to ETF of the occurrence. The notice shall include the identification of each individual whose unsecured Personal Information has been, or is reasonably believed by BUSINESS ASSOCIATE to have been accessed, acquired, or disclosed during such occurrence.

2. Within one business day of the discovery, BUSINESS ASSOCIATE shall notify ETF's Privacy Officer. BUSINESS ASSOCIATE shall immediately conduct an investigation and report in writing within four business days the following information:

(a) The name and contact information of each individual whose Personal Information has been or is reasonably believed to have been accessed, acquired or disclosed during the occurrence.

(b) A brief description of what happened, including the date of the occurrence and the date of the discovery of the occurrence, if known.

(c) A description of the types of Personal Information that were involved in the occurrence (e.g., full name, date of birth, Social Security number, account number).

(d) A brief description of what BUSINESS ASSOCIATE is doing to investigate the occurrence, to mitigate losses and to protect against further occurrences.

(e) The actions BUSINESS ASSOCIATE has undertaken or will undertake to mitigate any harmful effect of the occurrence.

(f) A corrective action plan that includes the steps BUSINESS ASSOCIATE has taken or will take to prevent similar occurrences.

3. At ETF's option, BUSINESS ASSOCIATE will be responsible for notifying individuals of the occurrence when ETF requires notification and to pay any cost of such notifications, as well as any costs associated with the breach, improper use or disclosure, including, without limitation, credit monitoring services. BUSINESS ASSOCIATE must obtain ETF's approval of the time, manner and content of any such notifications, provide ETF with copies of the notifications, and provide the notifications within sixty (60) days after discovery of the breach, improper use or disclosure. BUSINESS ASSOCIATE shall have the burden of demonstrating to ETF that all notifications were made as required, including any evidence demonstrating the necessity of any delay beyond the 60 day calendar notification to affected individuals after the discovery of the breach by ETF or BUSINESS ASSOCIATE.

E. **Duty to Mitigate Effect of Misuse or Unauthorized Disclosure and Notify Members of Unauthorized Acquisition:**

1. BUSINESS ASSOCIATE will mitigate, as required by HIPAA, HITECH, state law and this agreement, to the extent practicable, any harmful effect that is known to BUSINESS ASSOCIATE of a breach, improper use or unauthorized disclosure reported pursuant to subsection D of this section.

2. BUSINESS ASSOCIATE will comply with the provisions of Wis. Stat. §134.98 and any subsequently adopted state law regarding mitigation of privacy breaches, and shall ensure by written contract that any subcontractor or agent with whom it contracts to carry out the provisions of the Underlying Contract also complies with the provisions of Wis. Stat. §134.98 and any subsequently adopted law regarding mitigation of privacy breaches.

F. **Minimum Necessary**. BUSINESS ASSOCIATE will make reasonable efforts to use, disclose, or request only the minimum amount of Personal Information necessary to accomplish the intended purpose and shall comply with regulations issued pursuant to HIPAA and HITECH. Internal disclosure of such information to employees of BUSINESS ASSOCIATE shall be limited only to those employees who need the information and only to the extent necessary to perform their responsibilities according to the Underlying Contract and this Agreement.

G. **Disclosure to BUSINESS ASSOCIATE's Subcontractors and Agents**. BUSINESS ASSOCIATE shall require any of its agents or subcontractors to provide reasonable assurance, evidenced by written contract, that the agent or subcontractor will comply with the same privacy and security obligations as BUSINESS ASSOCIATE with respect to such Personal Information. Before entering into such a contract with an agent or subcontractor, BUSINESS ASSOCIATE shall obtain from ETF approval of the contract.

H. **Access, Amendment and Disclosure Accounting**.

1. Access. At the direction of ETF, BUSINESS ASSOCIATE agrees to provide access to any Protected Health Information held by BUSINESS ASSOCIATE which ETF has determined to be part of ETF's Designated Record Set, in the time and manner designated by ETF, so that ETF may meet its access obligations under HIPAA and HITECH. All fees related to this

access, as determined by BUSINESS ASSOCIATE, are the responsibility of the individual requesting the access.

2. Amendment. At the direction of ETF, BUSINESS ASSOCIATE agrees to amend or correct Protected Health Information held by BUSINESS ASSOCIATE and which ETF has determined to be part of ETF's Designated Record Set, in the time and manner designated by ETF, so that ETF may meet its amendment obligations pursuant to HIPAA and HITECH. All fees related to this amendment, as determined by BUSINESS ASSOCIATE, are the responsibility of the individual requesting the access.
3. Documentation of Disclosures. BUSINESS ASSOCIATE agrees to document such disclosures of Protected Health Information and information related to such disclosures so that ETF may meet its obligations under HIPAA and HITECH.
4. Accounting of Disclosures.
   (a) BUSINESS ASSOCIATE shall maintain a process to provide ETF an accounting of disclosures of Protected Health Information for as long as BUSINESS ASSOCIATE maintains Protected Health Information received from or on behalf of ETF. BUSINESS ASSOCIATE agrees to provide to ETF or to an individual, in a time and manner designated by ETF, information collected in accordance with Subsection 3 above, to permit ETF to properly respond to a request by an individual for an accounting of disclosures pursuant to HIPAA and HITECH.
   (b) Each accounting will provide:
      (i) The date of each disclosure;
      (ii) The name and address of the organization or person who received the Protected Health Information;
      (iii) A brief description of the Protected Health Information disclosed; and
      (iv) For disclosures other than those made at the request of the subject, the purpose for which the Protected Health Information was disclosed and a copy of the request or authorization for disclosure.
   (c) For repetitive disclosures which BUSINESS ASSOCIATE makes to the same person or entity, including ETF, for a single purpose, BUSINESS ASSOCIATE may provide:
      (i) The disclosure information for the first of these repetitive disclosures;
      (ii) The frequency or number of these repetitive disclosures; and
      (iii) The date of the last of these repetitive disclosures,
      (iv) BUSINESS ASSOCIATE will make a log of this disclosure information available to ETF within five (5) business days of ETF's request.
   (d) BUSINESS ASSOCIATE need not record disclosure information or otherwise account for disclosures of Protected Health Information if:
      (i) The disclosures are allowed under this Agreement or are expressly authorized by ETF in another written document; and
      (ii) The disclosures are for one of the following purposes:
         i. Treatment, Payment or Health Care Operations that are not made through an Electronic Health Record;

ii. In response to a request from the Individual who is the subject of the disclosed Protected Health Information, or to that Individual's Personal Representative;

iii. Made to persons involved in the health care or payment for the health care of the Individual who is the subject of the disclosed Protected Health Information;

iv. For notification for disaster relief purposes;

v. For national security or intelligence purposes;

vi. As part of a Limited Data Set; or

vii. To law enforcement officials or correctional institutions regarding inmates.

5. Disclosure Tracking Time Periods. Except as otherwise provided in this paragraph, BUSINESS ASSOCIATE must have available to ETF the disclosure information required by this section, but in no case will BUSINESS ASSOCIATE be required to have available information from:

   (a) More than six (6) years before ETF's request for the disclosure information; or

   (b) Any period during which BUSINESS ASSOCIATE did not provide services to ETF.

6. Disclosure Tracking for Disclosures made through Electronic Health Records: BUSINESS ASSOCIATE only needs to provide disclosures for Treatment, Payment or Health Care Operations made through an Electronic Health Record for three years prior to the date on which the accounting is requested. BUSINESS ASSOCIATE shall provide all information necessary for ETF to provide an accounting that includes all information required by regulations issued pursuant to HIPAA and HITECH.

7. Effective Date: The effective date for accounting required under subsection 6 depends on the date ETF acquires an Electronic Health Record. If ETF had an electronic Health Record as of January 1, 2009, subsection 6 will apply to Protected Health Information disclosures made by ETF on or after January 1, 2014. If ETF does not have an Electronic Health Record as of January 1, 2009, subsection 6 will apply to Protected Health Information disclosures made by ETF after the later of January 1, 2011 or the date ETF acquires an Electronic Health Record.

I. **Accounting to ETF and Government Agencies**. BUSINESS ASSOCIATE will make its internal practices, books, and records relating to its use and disclosure of Protected Health Information available to ETF to provide to the U.S. Department of Health and Human Services (HHS) in a time and manner designated by HHS for the purpose of determining ETF's compliance with HIPAA and HITECH. BUSINESS ASSOCIATE shall promptly notify ETF of any inquiries made to it by HHS concerning ETF's compliance with HIPAA.

J. **Red Flag Rules**. If applicable to BUSINESS ASSOCIATE, BUSINESS ASSOCIATE shall be responsible for implementation of an Identity Theft Monitoring Policy and procedure to protect Personal Information under the Federal Trade Commission regulations known as the "Red Flag Rules."

PART II –ETF OBLIGATIONS

A. **Changes in Permissions to Use and Disclose Protected Health Information**. ETF shall promptly notify BUSINESS ASSOCIATE of any change in, or revocation of, permission by an individual to use or disclose Protected Health Information, to the extent that such change may affect BUSINESS ASSOCIATE's use or disclosure of such Protected Health Information.

B. **Changes in ETF's Notice of Privacy Practices**. ETF shall provide BUSINESS ASSOCIATE with a copy of ETF's Notice of Privacy Practices and shall notify BUSINESS ASSOCIATE of any change made to the Notice of Privacy Practices, to the extent that such change may affect BUSINESS ASSOCIATE's efforts to comply with this Agreement.

C. **Changes in State Law**. ETF shall notify BUSINESS ASSOCIATE of any relevant change in Wisconsin law, to the extent that such change may affect BUSINESS ASSOCIATE's efforts to comply with this Agreement.

PART III - TERM, TERMINATION AND AMENDMENT

A. **Term**. This Agreement becomes effective on the effective date of the Underlying Contract. The Agreement is co-extensive with the term of the Underlying Contract, including any extensions made to the original Underlying Contract.

B. **Termination for Breach**. ETF shall have the right to terminate the Underlying Contract and this Agreement if BUSINESS ASSOCIATE, by pattern or practice, materially breaches any provision of this Agreement.

C. **Reasonable Steps to Cure Breach**. In addition to the right to terminate this Agreement and Underlying Contract pursuant to section B, above, ETF may provide BUSINESS ASSOCIATE with an opportunity to cure the material breach. If these efforts to cure the material breach are unsuccessful, as determined by ETF in its sole discretion, ETF may terminate the Underlying Contract and this Agreement, as soon as administratively feasible.

D. **Effect of Termination: Return or Destruction of Protected Health Information**.

Upon termination, cancellation, expiration, or other conclusion of the Agreement, BUSINESS ASSOCIATE shall:

1. Return to ETF or, if return is not feasible, destroy all Personal Information in whatever form or medium that BUSINESS ASSOCIATE received from or created on behalf of ETF. This provision shall also apply to all Personal Information that is in the possession of subcontractors or agents of BUSINESS ASSOCIATE. In such case, BUSINESS ASSOCIATE shall retain no copies of such information, including any compilations derived from and allowing identification of Personal Information. BUSINESS ASSOCIATE shall complete such return or destruction as promptly as possible, but not more than thirty (30) days after the effective date of the conclusion of this Agreement. Within such thirty (30) day period, BUSINESS ASSOCIATE shall certify on oath in writing to ETF that such return or destruction has been completed.

2. If BUSINESS ASSOCIATE destroys Personal Information, it shall be done with the use of technology or methodology that renders the Personal Information unusable, unreadable, or undecipherable to unauthorized individuals as specified by HHS in HHS guidance for the destruction of Protected Health Information. Acceptable methods for destroying Personal Information include: (i) paper, film, or other hard copy media shredded or destroyed in order that Personal Information cannot be read or reconstructed; and (ii) electronic media cleared, purged or destroyed consistent with the standards of the National Institute of Standards and Technology (NIST). HHS specifically excluded redaction as a method of destruction of Protected Health Information, unless the information is properly redacted so as to be fully de-identified.

3. If BUSINESS ASSOCIATE believes that the return or destruction of Personal Information is not feasible, BUSINESS ASSOCIATE shall provide written notification of the conditions that

make return or destruction infeasible. Upon mutual agreement of the Parties that return or destruction is not feasible, BUSINESS ASSOCIATE shall extend the protections of this Agreement to Personal Information received from or created on behalf of ETF, and limit further uses and disclosures of such Personal Information, for so long as BUSINESS ASSOCIATE maintains the Personal Information.

E. **Agreement to Amend Agreement.** The parties to this contract acknowledge that federal laws relating to transactions, security and privacy are rapidly evolving and that amendment to this Agreement may be required to provide for procedures to ensure compliance with such developments. The parties specifically agree to take such action as is necessary to implement the standards and requirements of HIPAA, HITECH and their implementing regulations. Upon the request of either party, the other party agrees to promptly enter into negotiations concerning the terms of an amendment to this Agreement embodying written assurances consistent with the standards and requirements of HIPAA, HITECH and applicable federal regulations. If this Agreement is not amended by the effective date of any final regulation or amendment to final regulations with respect to HIPAA and HITECH, this Agreement will automatically be amended on such effective date such that the obligations they impose on BUSINESS ASSOCIATE remain in compliance with the regulations then in effect.

PART IV – GENERAL PROVISIONS

A. **Conflict.** The provisions of this Agreement override and control any conflicting provision of the Underlying Contract. All non-conflicting provisions of the Underlying Contract remain in full force and effect.

B. **Election to Not Treat As Representative.** Nothing in this Agreement shall be construed to limit the discretion of ETF, under 45 C.F.R. § 164.502 (g) (5), to elect not to treat a person as the representative of an individual.

C. **No Third Party Beneficiaries**. Nothing expressed or implied in this Agreement is intended to confer, nor shall anything herein confer, upon any entity other than ETF and BUSINESS ASSOCIATE, any rights, remedies, obligations or liabilities whatsoever.

D. **Documentation**. All documentation that is required by this Agreement or by 45 C.F.R. Part 164 will be retained by BUSINESS ASSOCIATE for six (6) years from the date of creation or when it was last in effect, whichever is longer.

E. **Survival**. The parties' obligations and rights, with respect to BUSINESS ASSOCIATE's engagement to provide services, will be unaffected by the termination of the Underlying Contract and this Agreement. In particular, the provisions of Part III, Sections D and E, and this section, shall survive termination of the Underlying Contract and this Agreement.

Company Name _____ Date: _____

Authorized Person _____ Phone: _____
(Print or type)

_____
(Signature of authorized person)

F.8 NON-DISCLOSURE AGREEMENT

Version: 6/3/2013

Non-Disclosure Agreement for Vendor Conference

Purpose:

The purpose of this agreement is to inform participants in the Vendor Conference for RFP ETC0003 of their responsibilities with respect to the ETF-specific information they may receive while at the Conference, and to ensure participants understand and acknowledge these responsibilities. For the purposes of this Agreement, "participant" means any person or firm who is present as a guest at the vendor conference and who is not an employee of the Wisconsin Department of Employee Trust Funds (ETF). Any participant who does not sign this agreement is prohibited from participation in the vendor conference.

Confidentiality of ETF-Specific Information:

At the Vendor Conference, ETF may provide participants with confidential, proprietary information owned by ETF for the purpose of facilitating participants' preparation of responses to the RFP. This ETF-specific information may include, without limitation: network architecture, system security configuration, server information, etc. Participants are prohibited from disclosing any of the ETF-specific information received at the Conference to any other person or entity without ETF's prior authorization. Participants may use this confidential ETF-specific information exclusively for the purpose of preparing a response to RFP ETC0003. Participants in the Conference may inadvertently encounter "Individual Personal Information" (Wis. Admin Code § ETF 10.70(1)) held by ETF. Participants are strictly prohibited from using, creating copies of, retaining or disclosing such information. Confidential, proprietary information contained in any response to the RFP will not be disclosed in any public records request.

I understand and agree to abide by the terms of this entire document. Specifically, I agree that:

- I will use any confidential ETF-specific information I receive from the Vendor Conference exclusively for developing a response to the RFP and will not otherwise use or disclose the information without prior authorization from ETF.
- I understand that I may not use, copy, retain or disclose any "Individual Personal Information" I encounter at the Vendor Conference.
- I understand that there are consequences for the misuse of ETF information and a violation of this agreement could result in a lawsuit for civil damages and possible criminal charges.

Participant Name _____ Organization _____

Signature _____ Date _____