
	<b>FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION</b>	FCERA-PAS-RFP-000
	<b>Project: PENSION ADMINISTRATION SYSTEM</b>	
	<b>RFP Contents</b>	

## 000 – RFP CONTENTS

The table below lists all the contents of the RFP along with a description and bidder action for each section:

Section #	Section Name	Description	Bidder Action
001	RESPONSE INSTRUCTIONS	Instructions for submitting a response to this RFP.	N/A
002	TIMELINE	Information regarding the timing of events and activities for the selection of a solution bidder for this project.	N/A
003	CONTRACT REQUIREMENTS	Information and Acknowledgement Form: information on legal requirements for eligibility to bid on this RFP, with associated form from bidder acknowledging legal compliance for the final contract.	Signature required
004	FUNCTIONAL REQUIREMENTS	Information describing the FCERA essential business processes. Each process has a list of prioritized requirements particular to the process. The bidders must respond to these requirements using Appendix A Requirements Response.	Complete Appendix A Requirements Response
005	TECHNICAL REQUIREMENTS	Information describing the technical and historical environment at FCERA.	N/A
006	TECHNICAL REQUIREMENTS – BIDDER RESPONSE FORM	Form to be filled out by bidder describing how certain technical requirements will be met.	Complete all sections
007	USER EXPERIENCE	Instructions for bidders for providing a short video capture or WebEx-type session file to demonstrate the user experience for a specific scenario. The objective is to provide FCERA with a general overview of the “look and feel” of the system.	Create video capture file
008	IMPLEMENTATION PLAN	Instructions for bidders to map out their proposed solution that allows FCERA to understand the implementation plan and its timing.	Create implementation plan
009	MAINTENANCE & SUPPORT	Form: section to be filled out by bidder that allows FCERA to understand how the bidder will maintain the system and provide technical and operational support after implementation.	Complete all sections
010	ORGANIZATION & REFERENCES	Form: sections to be filled out by bidder with information on their organization, references and contacts, as well as information pertaining to sites that FCERA could visit or ask questions of. Two attachments are required.	Complete all sections
011	ASSUMPTIONS & EXCEPTIONS	Instructions for bidders to outline assumptions in the cost proposal, as well as exceptions to areas in which bidder cannot meet certain requirements.	Create documentation
012	INITIAL COST PROPOSAL	Instruction for bidders to provide a payment schedule and cost proposal. Form: section to be filled out by bidder as a cost worksheet.	Complete sections 12A, 12B
A	APPENDIX A. REQUIREMENTS RESPONSE	Provided for bidders' convenience in responding to functional requirements. The requirements listed here are exact copies of the requirements in the process documentation of Section 004, with a column added to aid in response. Refer to Section 004 for instructions on how to use the Meets Requirement column.	Complete the Meets Requirement column for all requirements.
B	APPENDIX B. REPORT SAMPLES	A selection of often-used structured reports at FCERA. These are included as information examples only and are not to be interpreted as comprehensive in scope or specification.	N/A

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## 001 – RESPONSE INSTRUCTIONS

### 1.1 What this document is about


FCERA is a pension fund that is one of twenty associations in the State of California governed by The County Employees Retirement Law of 1937. FCERA is a cost-sharing, multiple-employer, defined benefit plan that provides retirement benefits for eligible employees of the County of Fresno and participating agencies (Special Districts) including the Fresno-Madera Area Agency on Aging, Clovis Veterans Memorial District, and Fresno Mosquito and Vector Control District. Although the Superior Court of California, County of Fresno (Courts) is a separate legal entity from the County of Fresno, its employees are considered County employees for retirement purposes under state law and contractual agreement.

FCERA staff is responsible for collecting and accounting for contributions and investment income, as well as paying benefits to members and their beneficiaries, under the direction of the Board of Retirement.

*Fresno County Employees' Retirement Association (FCERA) is soliciting responses to this Request for Proposal for a new Pension Administration System to replace its Watson-Wyatt PENSIONS system. FCERA is expecting several responses to its RFP; therefore, it is important to FCERA that vendors respond according to the forms and instructions presented so that responses can easily be compared. This document lays out the basic instructions for understanding how the RFP is organized, and how the document should be submitted.*

The successful vendor will provide FCERA with detailed information on:

- Cost of software, including licensing costs plus any initial configuration and customization costs
- Estimates on hardware
- Flexibility of the system
- Compliance with FCERA business rules and requirements
- “Look and feel” of the system
- Architecture of the solution
- EDMS capabilities, either embedded within the PAS or as an integration with a third party product


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- Backfile conversion to EDMS
- Implementation services, which include specifications, development, testing, training, and cut-over support
- Member data conversion and migration services
- Annual maintenance and support costs
- Financial stability of the company
- Any other additional services

## **1.2 Scope of this RFP**

FCERA is looking for this technical system to be the core member administration system that includes the following general functions for the organization:

- Setup of retirement benefits
- Administration of retirement payroll
- Importing of plan sponsor member files
- Processing of service credit purchases (“buybacks”) and redeposits of contributions
- Granting of Cost of Living Allowances
- Tracking of member counseling and estimating of benefits
- Calculating retirement options
- Administration of death benefits
- Processing of intersystem (reciprocal) agency agreements
- Processing of withdrawals
- Tracking and processing disability benefits
- Processing of Dissolution of Marriage or Domestic Partnership (DRO)
- Processing of member contribution adjustments
- Processing of 1099Rs; reporting of other state and federal taxes

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- Generation of actuarial valuation and experience extracts
- Apportioning and applying semi-annual interest to member accounts
- Generation and management of correspondence
- Generation of annual member statement
- Document Management

The areas above constitute the core functions in FCERA's Pension Administration System (PAS). In addition to the functionality, FCERA also plans to integrate these basic processing functions with other external systems, including real-time integration with a Document Management System and FCERA's General Ledger system, Microsoft NAV. Finally, FCERA intends to provide its members with an online Member Portal to view their account information and to submit key service requests to FCERA.

### 1.3 Evaluation Criteria

FCERA will perform a two-stage evaluation of the vendor proposals.

#### 1.3.1 Solution Cost

Cost proposals must be fixed price and include all costs for the total PAS solution as described in this RFP, including but not limited to the following items:

- all software comprising the solution
- hardware and other equipment comprising the solution (note: FCERA may choose to procure hardware through their own procurement channels rather than from the PAS solution vendor)
- configuration and/or customization services
- vendor's own project management directly supporting the project
- subcontracted services, if any
- maintenance and support fees
- travel and expenses


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

#### 1.3.2 Proposal Review

Once FCERA has validated the cost of the vendor's overall solution, FCERA will evaluate the vendor's proposal according to the criteria below:

Criterion	Weight	Criterion Description
Requirements	20%	Ability of solution to meet FCERA's functional requirements, business



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Criterion	Weight	Criterion Description
		requirements, and business rules (where applicable). Ability of user experience to match FCERA's needs. Ability to have considerable flexibility in financial reporting.
Technical Fit	12%	Overall technical fit to FCERA, including robustness, scalability, flexibility, ease of customization and configuration, use of industry-wide technology. Ability to integrate with other systems well, where necessary.
Maintenance & Support	17%	Thoroughness of support program, reputation of company with customers for responsiveness, thoroughness of testing, availability of support resources, and overall cost of future support and upgrades.
Implementation Management	17%	Comprehensiveness of project plan, quality of approach, thoroughness of testing phases, and experience of references in working with project team.
References and Experience	15%	Quality of overall solution, experience with implementation, experience with other defined benefit plans, experience with 1937 Act County systems, degree to which projects went over budget/schedule, customization design and cost, experience with Help Desk / support staff, personnel qualifications, and proposal firm's qualifications.
Company Position in Industry	14%	Company stability, availability of resources, likelihood of company / product line survival, degree of product usage in industry.
Cost	5%	Relationship of quality of solutions to price, configuration and customization costs, and completeness of pricing for overall project.

#### 1.4 Submission requirements

This RFP in its entirety contains a total of 12 sections, plus one (1) document that provides a summary of the contents and two (2) appendices. ***Some of these sections are for information only.*** Other sections are forms to be filled out by the vendors. When the response is completed, the vendor must submit the items listed below.

To be considered, all submission materials must be received at FCERA by 5:00PM Pacific Time on June 3, 2011.

1. **One (1) electronic copy of each document** that comprises the overall response, in native format. This means that there will be multiple files; these will only be used for compilation purposes.
2. **One (1) electronic copy of the compiled response** in an Adobe Acrobat PDF (version 7.0 compatible). The vendor should put all of the documents in the order that they should appear and be arranged into one (1) PDF file.
3. **One (1) video capture file** that demonstrates the functionality requested in the **007 User Experience** section. If the vidcap file is too large for email submission, it

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may be sent to FCERA separately on CD-ROM or DVD media, to arrive by due date.

4. **Six (6) printed copies** that are bound or in a binder. This document must arrive at FCERA by the due date stated above even if electronic materials were emailed in advance.


With the exception of the vidcap file, the FCERA selection committee will rely on the PDF copy and the printed copy for its evaluation. The original, native formatted files will only be used as a backup and for compiling information.

- All submissions become the property of FCERA and will not be returned to vendors.
- All proposals shall be valid for 180 days from the submission due date, and no more than one proposal per vendor is allowed.

### **1.5 Where to submit RFP responses**

All submissions must be delivered prior to the deadline specified in the selection timeline. For email submissions, please send to Susan George, [sgeorge@lineasolutions.com](mailto:sgeorge@lineasolutions.com). For any conventional submissions, please send to:

Roberto L. Peña, Retirement Administrator  
Fresno County Employees' Retirement Association  
1111 H Street  
Fresno, CA 93721  
E-Mail: [rpena@co.fresno.ca.us](mailto:rpena@co.fresno.ca.us)

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	<b>RFP Timeline</b>	

## 002 – TIMELINE

### 2.1 What this document is about


The following table presents the schedule for the selection of FCERA's Pension Administration System vendor. While FCERA will make its best efforts to stay on schedule, it reserves the right to alter it at any time.

ID	Milestone	Date	Time
1	Release of RFP	4/21/2011	5PM Pacific
2	Questions from vendors due at FCERA (via email)	4/29/2011	5PM Pacific
3	Answers to questions distributed and published	5/13/2011	5PM Pacific
4	Intent to bid email (requested – this is optional but will assist in making our evaluation process more efficient)	4/29/2011	5PM Pacific
5	Submission deadline	6/3/2011	5PM Pacific
6	FCERA review process begins	6/6/2011	9AM Pacific
	FCERA due diligence completes (site visits, reference checks, etc)	6/20/2011 to 6/24/2011	TBD
	Vendor Oral presentations	7/6/2011	TBD
7	FCERA review process ends	7/27/2011	5PM Pacific
8	Recommendation made to Board of Retirement / Winner announced	8/3/2011	5PM Pacific
9	Contract negotiations begin	8/4/2011	9AM Pacific
10	Contract negotiations end	9/9/2011	5PM Pacific
11	Implementation Begins	9/15/2011	TBD

### 2.2 Additional explanation of RFP milestones

#### 2.2.1 Milestone 1: Release of RFP

This is the date the RFP will be distributed to potential vendors. The RFP will be available through the FCERA Website ([www.fcera.org](http://www.fcera.org)) after the release date.

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### **2.2.2 Milestone 2: Questions from vendor due at FCERA**

All potential vendors should submit to FCERA any questions that could assist in clarifying aspects of the RFP. Questions must be submitted prior to the deadline, but can be submitted in multiple batches, and should be emailed to **Susan George** ([sgeorge@lineasolutions.com](mailto:sgeorge@lineasolutions.com)). Questions must be in a word processing format that can easily be copied and pasted into other documents.

### **2.2.3 Milestone 3: Answers to questions distributed**

FCERA will respond to all questions submitted as long as they are submitted before the deadline in the proper format. Answers to questions will be submitted via email to ALL vendors who originally received a copy of the RFP or submitted questions. Answers will also be published on the FCERA web site.

### **2.2.4 Milestone 4: Intent to bid email due from interested vendors**

FCERA is requesting all interested vendors to send an email message to **Susan George** ([sgeorge@lineasolutions.com](mailto:sgeorge@lineasolutions.com)) confirming their intent to bid on this project. Please include the following:

**Email subject line:** [Vendor Name] Intent to Bid on RFP

**Email body:** Please submit any identifying information indicating that the message is to confirm interest in submitting a proposal. Minimally, we request that you include the following information:

**Contact name:**

**Contact phone:**

**Contact email:**

**Vendor name:**

**Product represented:**


**Location of Office:**

**Location of Support Office:**

While a confirmation of intent to bid is not required, it serves as a courtesy notice to FCERA that a vendor will be sending a response to the RFP. It also helps to ensure that answers to vendors' questions will be distributed to all participants. Vendors who do not confirm their intent to bid will not be disqualified.

### **2.2.5 Milestone 5: Submission Deadline**

All RFP responses are due at FCERA by this date and time. To be considered, all materials must be shipped to arrive at FCERA by the due date and time.

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### **2.2.6 Milestone 6: FCERA review process begins**

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The FCERA selection committee will begin reviewing the RFP responses on this date. FCERA due diligence on the responding vendors, including reference checks and potential site visits, will be conducted during this period.

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

### **2.2.7 Milestone 7: FCERA review process ends**

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The FCERA selection committee expects to have completed the review process by this (tentative) date.

### **2.2.8 Milestone 8: Recommendations made to Board of Retirement**

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

### **2.2.9 Milestone 9: Contract negotiations begin**

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The day after the Board of Retirement meeting, FCERA will begin working with the tentative winner on the contract between the two parties.

### **2.2.10 Milestone 10: Contract negotiations end**

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To stay on schedule for the implementation timeline, FCERA intends to complete the contract negotiations with the tentative winner in order to include a copy of the final contract with the Board of Retirement's documentation packet. It is needed at this date to allow sufficient time for each Board member to review and comment at the next bi-weekly Board meeting.

### **2.2.11 Milestone 12: Implementation begins**

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The implementation plan can be executed after the selection becomes official.

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## 003 – CONTRACT REQUIREMENTS

### 3.1 What this document is about

A final, detailed agreement concerning services and performance expectations will be agreed upon between FCERA and the winning vendor. The RFP and winning vendor's proposal, including but not limited to winning vendor's representations and warranties, will be incorporated by reference into the final contract. In the event of any conflict or inconsistency between the terms and conditions of the RFP and those of the winning vendor's proposal, the terms and conditions of the RFP shall control and supersede those of the proposal. The terms and conditions of the final contract shall control and supersede those of both the RFP and the winning vendor's proposal.

### 3.2 Statements

FCERA is a defined benefit pension plan covering the employees of the County of Fresno, and certain other public employer districts within the County. FCERA is governed by the County Employees Retirement Law of 1937, California Government Code Section 31450, et seq. and is administered by the FCERA Board of Retirement. FCERA operates as an independent governmental entity separate and distinct from the County of Fresno and FCERA's other participating public employer districts. FCERA's basic financial statements are included in the County of Fresno's basic financial reports as a pension trust fund.

FCERA is subject to the California Public Records Act. If a responding vendor believes that any portion of its proposal is exempt from public disclosure, such portion must be marked "confidential." FCERA will use reasonable means to ensure that confidential information is safeguarded but will not be held liable for inadvertent disclosure of such information. If material labeled "confidential" is a public record under applicable law, the law will govern and the "confidential" label will not prevent FCERA from disclosing the information. Proposals marked "confidential" in their entirety will not be honored as such and FCERA will not deny public disclosure of all or any portion of proposals so marked.

By marking portions of its proposal "confidential," the responding vendor represents that it has a good faith belief that such portions are exempt from disclosure under the California Public Records Act and agrees to reimburse FCERA for, and to indemnify, defend and hold harmless FCERA, its officers, fiduciaries, employees and agents from and against any and all claims, damages, losses, liabilities, suits, judgments, fines, penalties, costs and expenses including, without limitation, attorneys' fees, expenses and court costs of any nature whatsoever arising from or relating to FCERA's non-disclosure of any such designated portions of a proposal, if disclosure is deemed required by law or court order.

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If a vendor discovers any ambiguity, conflict, discrepancy, omission or other error in this RFP, please immediately notify FCERA of such error by e-mail at:

Susan George  
[sgeorge@lineasolutions.com](mailto:sgeorge@lineasolutions.com)

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

FCERA is exempt from federal, state and local taxes. FCERA will not be responsible for any taxes levied on the vendor as a result of any contract resulting from this RFP. Submission of a proposal in response to this RFP indicates acceptance by the vendor of the terms and conditions contained in this RFP, unless exceptions are clearly and specifically noted (with reasons given) in the proposal. FCERA reserves the right to accept or reject any proposed modifications appearing in a proposal prior to execution of a contract with the winning vendor.

Of the qualifying proposals determined to be the most advantageous to FCERA, taking into account all of the selection criteria (as outlined in Section 001 – Response Instructions), one may be selected by FCERA for further action, such as a contract award. If, however, FCERA decides that no proposal is sufficiently advantageous to FCERA, FCERA may take whatever further action is deemed best in its sole discretion, including making no contract award. If, for any reason, a vendor is selected and it is not possible to consummate a contract with the bidder, FCERA may begin contract discussions with the next qualified vendor or determine that it does not wish to award a contract pursuant to this RFP, at its sole discretion. FCERA will not be liable for costs a firm incurs in connection with the preparation or submission of any proposal. FCERA also reserves the right to cancel this RFP at any time.

### **3.3 Vendor Guarantees**

The vendor certifies that it can and will provide, at a minimum, the products and services set forth in sections 004 - Functional Specifications, and 005 – Technical Requirements, and also in accordance with the responses in 006 – Technical Requirements Bidder Response, unless otherwise noted.

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### 3.4 Vendor Warranties and Representations

By submitting a proposal, a vendor makes the following warranties and representations:

- Vendor is willing and able to comply with all laws of the State of California, including, but not limited to, laws relating to foreign (non-State of California) corporations.
- Vendor is willing and able to execute a confidentiality agreement to protect the privacy and provide for the security of FCERA member data.
- Vendor is willing and able to obtain an errors and omissions insurance policy providing an appropriate amount of coverage for the willful or negligent acts or omissions of any officers, employees, or agents thereof.
- Vendor will not subcontract or delegate its responsibilities under an agreement without the prior written permission of FCERA.
- All information vendor provides in connection with its proposal is true and accurate.
- The person signing on behalf of the vendor below has authority to bind the vendor to a contract with FCERA.

Signature of Official: \_\_\_\_\_


Name (typed): \_\_\_\_\_

Title: \_\_\_\_\_

Company Name: \_\_\_\_\_

Date: \_\_\_\_\_



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## 004 – FUNCTIONAL SPECIFICATIONS


### 4.1 What this document is about

FCERA has completed a thorough needs assessment and analysis of the system requirements necessary to support its operations. This work has resulted in the functional specifications found in this section. Vendors should understand that while this list of requirements is extensive, it does not contain the full and complete scope of FCERA's functional specifications. The winning vendor will work with FCERA subject matter experts to expand these specifications into fully developed use cases on which the system function and configuration will be based.

Each major business process at FCERA is described here along with a list of requirements pertaining to each. The requirements are also included in this RFP on their own for ease in responding.

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

Priority	Definition	Comments
<b>Priority 1</b>	Critical	<p>FCERA must have this requirement; therefore, FCERA is not asking for detailed pricing that may be attributed to the item, but is requesting the vendor's all-inclusive pricing to include compliance with the requirement.</p> <p>The solution must meet the requirement and FCERA's business process without customization.</p>
<b>Priority 2</b>	Required	<p>FCERA must have this requirement; therefore, FCERA is not asking for detailed pricing that may be attributed to the item, but is requesting the vendor's all-inclusive pricing to include compliance with the requirement.</p> <p>The solution must satisfy the requirement without customization. FCERA will adjust its own business process to meet the solution.</p>
<b>Priority 3</b>	Important	FCERA would like this requirement fulfilled but

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		recognizes that it may or may not be fulfilled without some additional work from the software vendor. Therefore, FCERA would like further information regarding any additional costs from the software vendor prior to committing to it.
<b>Priority 4</b>	Nice to Have	These items are desired features, if available without customization.

#### 4.2 Priority 1 and 2 Specifications

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

#### 4.3 Priority 3 and 4 Specifications

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

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

For each of the Priority 3, all bidders must indicate the degree to which their solution:


##### 1 - Meets Requirement

The system meets the requirement off the shelf, without any customization or configuration.

##### 2 - Meets Requirement with Configuration (level A, B, C or D)

The system meets the requirement without customization, but will require configuration. The level of effort needed for configuration must be indicated with one for the following letters:

- A. Minor Configuration, requiring a user with standard system skills, and between 0 – 5 hours

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- B. Moderate Configuration, requiring a user with standard of higher system skills, between 5 and 16 hours
- C. Significant Configuration, requiring a system administrator, or a standard user in excess of 16 hours
- D. Major Configuration, requiring configuration work by the software vendor

### 3 - Requires Customization (level A, B, C or D)

The system will meet the requirement with customization. For customizations, the level of effort must be indicated with one of the following letters:

- A. Minor Customization, under 5 hours and less than \$500.00 in cost
- B. Moderate Customization, up to 40 hours and \$4,000.00 in cost
- C. Significant Customization up to 100 hours, and \$10,000.00 in cost
- D. Major Customization, over \$10,000.00


### 4 - Does not meet Requirement

## 4.4 Process Descriptions and Requirements

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

Each major process is identified by a 3-digit number. The numbers are not always sequential and there is nothing to be implied from the process identification numbers other than simple identification. Large complex processes are separated into sub-processes for presentation purposes; however, all sub-processes are identified by the identification number of the major process. For example, Death processing has several sub-processes, identified as 500-Death Active, 500-Death Nonmember, 500-Death Retired, etc. Please do not alter the process id numbers.


The section describing each process contains a heading banner with **4.4.ppp ProcessName**, where **ppp** is the identifier of the process and ProcessName is the name of the process or sub-process, for example: **4.4.300 Benefits Statements**.

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At the conclusion of each process description is a list of formal requirements to which the vendor is being asked, in Appendix A, to provide a level of fulfillment. Each requirement is uniquely identified by a numeric string ppp-rrr, where ppp is the 3-digit process number described above and rrr is a 3-digit number for that requirement. The numbers are not always sequential and there is nothing to be implied from the requirement identification numbers other than simple identification. (For the vendor's convenience in responding to this RFP, all formal requirements have also been extracted and consolidated in Appendix A to this RFP.) Please do not alter the requirement id numbers.

The table below lists the major business processes at FCERA. There is a process description for each named process in this table.

<b>Process Name</b>	<b>Process ID</b>
<number skipped>	100-200
Benefits Statements	300
<number skipped>	301
Member Information Change	302
Plan Sponsor Payroll Import Processing	303
Service credit purchase	304
Reciprocity Processing	305
Contribution Adjustments	306
Termination	307
Member Correspondence	308
Member Enrollment	309
<number skipped>	310-499
Retirement-BenefitEstimates	500
Retirement-BenefitOptions	500
Retirement-FinalCompensation	500
Retirement-HealthBenefit	500
Retirement-NewRetirement	500
Retirement-TempAnnuityOption	500
Disability	501
Death Notification	502
Death of Active Member	502
Death of Deferred Member	502
Death of Nonmember	502
Death of Retired Member	502
COLA Adjustments	503
<number skipped>	504
Deferred Retirement	505

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	<b>RFP Functional Specifications</b>	

<b>Process Name</b>	<b>Process ID</b>
Member Counseling	506
<number skipped>	507
Interest Posting	508
Retiree Payroll	509
Year-end Processing	510
Tax Reporting	511
Error Corrections & Adjustments	512
1099R Processing	513
Supplemental Benefits Pre 2001	514
IRC 415(b) Processing	515
<number skipped>	516-699
Dissolution Of Marriage	700
<number skipped>	701
Accounting & Financials	702
Board Reporting	703
Actuarial Extract	704
EDMS Integration	705
<number skipped>	706-709
Member Portal	710
<number skipped>	711-799
Reporting	800
<number skipped>	801
GLintegration	802
Tiers/Plan Sponsors	803
Workflow	804

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## 4.4.300 Benefits Statements

### 1 Overview

Annual member statements are provided to Special District members plus Deferred and Suspense members each year. Annual member statement information is provided to the County of Fresno for Active County members to be incorporated into a comprehensive annual statement that incorporates all benefits provided by the County. These statements provide information to members regarding their personal information, service credit, current plan, contribution activity, interest and account balance as well as estimated benefits at retirement.

Statements are generated each year using a snapshot of the member's account as of a FCERA-determined date.

For the members of Fresno County, information will be sent to the County to combine with their statement.

Statements for Special District, Deferred, and Suspense members are mailed out by FCERA and could have a different effective date than the County benefit statement.

### 2 Roles


PAS Role Name	Definition
System and Process Analyst	Staff member responsible for meeting with County Human Resources to plan the coordination and timing of the yearly creation and sending data files to Fresno County.
System and Process Analyst	The FCERA IT Specialist who creates the data file to send to County and create the files for Special Districts, deferred and suspense members.

### 3 Process Overview

#### 3.1 Process Scope

##### 3.1.1 General Timing of Events for Fresno County

Timing	Key Event
Mid to Late January	Meeting with County HR and IT to discuss coordination and timing of the project

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Timing	Key Event
February	Take snapshot in PENSIONS and post interest.
March -June	Review approved template from County and run sample test in PENSIONS. After merging data, test in County system. Statements are mailed out by the County.

#### General Timing of Events for Special Districts, Deferred and Suspense Members

Timing	Key Event
February	Take snapshot in PENSIONS and post interest.
March -June	Create and validate sample statements. Statements are mailed out by FCERA.


### 3.2 Process Flow

The following is a general overview of the current process for the County:

1. A meeting takes place in mid to late January with all of the participants of this process. This meeting includes representatives from FCERA, County HR and IT to discuss the coordination and timing related to this process.
2. In February, FCERA takes a snapshot of the data as of last pay period of previous year. Interest is also posted at this time. This snapshot is the source of the account balance and earnings for member statements. This data is available in a test database for further testing and processing.
3. March through June is when majority of the processing takes place. FCERA reviews the approved template from the County and test sample in PENSIONS. After merging FCERA data with County data, the test sample in County system (PeopleSoft) is reviewed. The goal is to issue the statements by March 1<sup>st</sup> but the schedule depends on County activities.
4. Fresno County prepares and mails the statements to active County members.

The following is a general overview of the current process for Deferred and Suspense members and members of Special Districts:

1. FCERA does not meet with the Special Districts to plan the coordination and timing.
2. In February along with the County data, FCERA takes a snapshot and extracts data for each Plan Sponsor plus deferred and suspense members.
3. FCERA completes the interest posting process.


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4. FCERA creates sample benefits statement for deferred and suspense members, and each Plan Sponsor.
5. FCERA validates data in standard format or by exporting data to Excel.
6. FCERA produces the statements.
7. FCERA mails out the statements at same time as the County.

### 3.3 Areas of Concern/Risk

1. The contribution total amounts, service hours and earnings being reported for the period must accurately reflect only the balance at the end of the period being reported. In other words, when the data files are generated in February, the amounts reported must not include any data or changes that take place after the FCERA-determine date of the statement data.
2. Years of service as reported in the Benefits Statement and used to calculate estimated retirement benefits must only include service credit purchases that are fully paid.
3. In contrast to the amounts and service being reported, changes to certain demographic data need to be captured and included in the data even though the changes took place after FCERA-determined date. The following list shows data elements that are to be included as of the date that the data files are generated:
  - a. Name changes
  - b. Current address changes
  - c. Status changes (specifically for separated employees)
  - d. Updated divorce information
4. Demographic changes mentioned above do not impact the County as those changes for active members are handled by the County and statements are combined with the County's correspondence. However, the most up to date information is needed for FCERA to mail out the statements for members of Special Districts plus deferred and suspense members.
5. The new PAS system must have a benefits statement template that can be modified to fit various scenarios, i.e., to accommodate different Plan Sponsors and types of memberships.
6. Years of Service is a calculated field in PENSIONS.
7. The current PENSIONS system was implemented in 1998. No actuarial information is available prior to 1981. PENSIONS may contain incomplete information on service credit purchases and leave of absences prior to implementation.



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### 3.4 Key Business Rules

The following are business rules that drive this process:


1. All currently Active County members **do** receive a member statement.
2. All currently Active District members **do** receive a member statement.
3. Members who are Active but on a Leave of Absence **do** receive a member statement.
4. Deferred and Suspense members for both County and Districts **do** receive a member statement.
5. Deferred members of inactive Plan Sponsors **do** receive a member statement.
6. Inactive members **do not** receive a member statement.
7. Non-members or alternate payees **do not** receive a member statement.
8. Beneficiary data for members is included in the member statements.

### 3.5 Data Points


#### 3.5.1 Member Demographic and Balance Information to the County and file layout for Special Districts, Deferred and Suspense members

This is a .txt file that contains information for active members with one record per member. The same file layout is used to send information to the County and to create the FCERA benefits statements.

Field	PeopleSoft number	Position
num	"i10"	1
PeoplesoftNumber	"a8"	11
fName	"a20"	19
LName	"a20"	39
suffix	"a10"	59
addr1	"a35"	69
Addr2	"a35"	104
city	"a30"	139
St	"a2"	169
zip	"a10"	171
ssn	"a11"	181
birthdate	"d8"	192
hireDate	"d8"	200
stat	"a15"	208

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Field	PeopleSoft number	Position
FullPart	"a10"	223
Membership	"a18"	233
EntryAge	"i2"	251
RetEntryDat	"d8"	253
Benefic1	"a30"	261
Benefic2	"a30"	291
Benefic3	"a30"	321
Benefic4	"a30"	351
DeptNam	"a10"	381
JobDesc	"a10"	391
AsOfDate	"d8"	401
svcCurrT1	"g7"	409
svcCurrT2	"g7"	416
svcCurrT3	"g7"	423
svcRet	"g7"	430
lastAccrualTot	"g10"	437
ctbBasTax	"g10"	447
ctbBasDef	"g10"	457
ctbBasInt	"g10"	467
ctbBas	"g10"	477
ctbCOLTax	"g10"	487
ctbCOLDef	"g10"	497
ctbCOLInt	"g10"	507
ctbCol	"g10"	517
ctbSBaTax	"g10"	527
ctbSBaDef	"g10"	537
ctbSBaInt	"g10"	547
ctbSBa	"g10"	557
ctbSCoTax	"g10"	567
ctbSCoDef	"g10"	577
ctbSCoInt	"g10"	587
ctbSCo	"g10"	597
ctbEeTax	"g10"	607
ctbEeDef	"g10"	617
ctbEeInt	"g10"	627
ctbEeTot	"g10"	637
ctbEeCurYr	"g10"	647
ctbErCurYr	"g10"	657
dateFirstRet	"d8"	667
ageEeYrs	"i2"	665
benUnmodNMB	"g10"	677
phone	"a15"	687
lastYear	"i4"	702

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### 3.5.2 Currently Available Data

See the specification for the data file above.

### 3.5.3 Desired Data Points

To minimize manual preparation, FCERA desires an interface to send information supporting benefits statements to the County.


## 4 Analysis and Recommendation

Continuing to use processes that are different for active County members than for deferred, suspense, and District members is unavoidable in the short term. In fact, the active County members have expressed that they prefer the combined statement from the County, rather than a separate retirement statement.


Extracting the data for the statements needs to be efficient, reliable, and repeatable with no manual manipulation of the data. All business rules must be in the logic for the extraction report or query. Possible input parameters to the extraction report or query could be the type of member – active County, or all others (deferred, suspense, and active District) – and effective date, to accommodate the differences between the statements for these populations.

## 5 Requirements


ReqID	Process	Requirement Detail	Priority
300.001	Benefits Statements	<p>The PAS will provide the capability to select member status and Plan Sponsor status for which statements will be issued.</p> <p>The following type of members receive annual benefits statements:</p> <ul style="list-style-type: none"> <li>• Active County and District</li> <li>• Active, on leave of absence</li> <li>• Deferred for County and District</li> <li>• Suspense for County and District</li> <li>• Deferred members of inactive Plan Sponsors</li> </ul>	1
300.002	Benefits Statements	The PAS will provide capability to produce member statement extract files with data as of the end of the last pay period of the year or any other date selected. The year-end interest posting may or may not be included at FCERA's discretion.	1
300.003	Benefits Statements	The PAS will provide capability to produce member statement extract files with data as of the end of the last pay period of the year, including interest postings or any other date selected.	1

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ReqID	Process	Requirement Detail	Priority
300.004	Benefits Statements	The PAS will provide capability to produce trial member statement extract data files.	2
300.005	Benefits Statements	The PAS will provide capability to exclude certain data from member statement extract files as well as changes that take place after the statement date.	2
300.006	Benefits Statements	The PAS will provide capability to record and store statement effective date, and other selection criteria associated with a statement production run.	2
300.007	Benefits Statements	The PAS will provide capability to use pay date / pay period parameters for inclusion / exclusion of member contribution and service time data from member statement extract files.	2
300.008	Benefits Statements	The PAS will provide capability to produce member statement detail reports.	1
300.009	Benefits Statements	The PAS will provide capability to produce member statement summary reports.	1
300.010	Benefits Statements	The PAS will provide capability to produce a trial statement run, holding statements in a staging area, but not generating a print file or posting to member record until user executes the post option to keep the statements permanently.	2
300.011	Benefits Statements	The PAS will provide capability to produce all member statement reports against a trial run.	2
300.012	Benefits Statements	The PAS will provide capability to post or cancel a member statement trial run.	2
300.013	Benefits Statements	The PAS will provide capability to initiate the member statement process at any time.	2
300.014	Benefits Statements	<p>The PAS will provide capability to include changes to certain demographic data that occur after the FCERA-determined date in the member statement extract files.</p> <p>As opposed to the amounts and service being reported, changes to certain demographic data will be captured and included in the data even though the changes took place after the FCERA-determined date. The following list shows some data elements that will be included as of the date that the data files are generated:</p> <ul style="list-style-type: none"> <li>• Name changes</li> <li>• Current address changes</li> <li>• Status changes (specifically for separated employees)</li> <li>• Updated divorce information</li> </ul>	2
300.015	Benefits Statements	The PAS will provide the capability to clearly identify all dollar amounts as pre/post tax.	2
300.016	Benefits Statements	The PAS will provide the capability to edit member statement data prior to printing.	2
300.017	Benefits Statements	The PAS will provide benefits statement template that can be modified to fit various scenarios, i.e., to accommodate different Plan Sponsors and types of memberships or to change the verbiage.	2
300.018	Benefits Statements	<p>The PAS will provide the capability to produce annual retirement statements which include the following categories of member data, specific to each member:</p> <ul style="list-style-type: none"> <li>• Member name</li> <li>• Current mailing address</li> <li>• Soc. Sec. Number(last 4 digits)</li> </ul>	2

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ReqID	Process	Requirement Detail	Priority
		<ul style="list-style-type: none"> <li>• Department</li> <li>• Date of birth</li> <li>• Date of employment</li> <li>• Status</li> <li>• Employment status</li> <li>• Classification (tier)</li> <li>• Entry age for contributions</li> <li>• Date of entry into the system</li> <li>• Beneficiary(s)</li> <li>• Years of credited service (all tiers) (excluding installments in process)</li> <li>• Current retirement contribution</li> <li>• Total contributions for the year</li> <li>• Employee contribution balances as of 12/31 previous year broken down to Taxed, Taxable, Interest and Total for the following categories: <ul style="list-style-type: none"> <li>○ Basic</li> <li>○ Cost-of-Living (COL)</li> <li>○ Supplemental Basic</li> <li>○ Supplemental COL</li> </ul> </li> <li>• Total contributions and interest</li> <li>• Retirement benefit estimates for first eligible date</li> <li>• Any other notes or important information (TBD)</li> </ul>	
300.019	Benefits Statements	The PAS will provide capability to store 'Years of Service' as calculated in preparing the member statement data so that the value is viewable without further calculation.	2
300.020	Benefits Statements	The PAS will provide capability to generate Benefits Statements, with the option to either generate an extract file for use by a printing vendor or for in-house printing.	2
300.021	Benefits Statements	<p>The PAS will provide the capability to generate print output files in a number of file formats, including, but not limited to:</p> <ul style="list-style-type: none"> <li>• Adobe Acrobat PDF</li> <li>• Microsoft Word</li> <li>• Microsoft Excel</li> <li>• HTML</li> <li>• Rich Text File</li> <li>• Plain Text File</li> </ul>	2
300.022	Benefits Statements	The PAS will provide the capability to issue a single benefit statement from the member record screen.	2
300.023	Benefits Statements	The PAS will provide the capability to issue an individual benefit statement and/or multiple statements by groups, batches, or the entire FCERA membership if needed.	2
300.024	Benefits Statements	The PAS will provide the capability to re-print or view a specific benefit statement.	2

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## 4.4.302 Member Information Changes

### 1 Overview

The goal of member information changes is to process changes to all member and non-member information that is stored in the Pension Administration System (PAS) to ensure the accuracy of information that is used for a variety of functions such as providing accurate estimates before retirement, calculating final retirement benefits, depositing benefit payments to bank accounts, and ensuring proper and timely notification of any changes to the plan or benefits.

### 2 Roles

PAS Role Name	Definition
Acct Clerk or Retirement Coordinator	Staff member responsible for all changes to member information in the Pension Administration System for Active and Retired members.
Members	Information changes can be made for active, retired, suspense, inactive and deferred members.
Non-Members	Information changes can be made for beneficiaries, ex-spouses, children, and any other person who is eligible to receive a benefit or continuance on behalf of a member.


### 3 Process Overview

#### 3.1 Process Scope

At FCERA, the scope of member information changes applies to information that is stored for members who are active, retired, inactive, suspended or deferred, and non-members such as survivors, ex-spouses, and eligible children.

Member information changes include, but are not limited to, the following information categories:

Category	Description
Name	Person's first, last, middle name and suffix
Address	Home address Mailing address (if different from home address)
Email	At least store one email address
Phone Number(s)	Home Mobile Alternate Fax
Financial / Banking	Checking Savings Institution Name

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	Routing Number(s) for each account/institution
Social Security Number	The person's Social Security Number
Employee Number	Assigned by County HR or other plan sponsors
Member ID	Secondary ID number in lieu of SSN (not currently in use but might be needed in the future)
Date of Birth	The member's birth date
Gender	Male / Female
Marital Status	Single Married Divorced Widowed Legally Separated State Registered Domestic Partnership
Spouse / Domestic Partnership	Y/N Spouse / Domestic Partner Name Date of Birth
Membership Status	Active / Retired / Deferred / Inactive / Suspense
Deductions	Tax Withholding Medical Insurance Premiums REFCO (Retired Employees of Fresno County) Levies Alimony Child Support Other deductions
Beneficiary(ies)	Name (First, Middle, Last, Suffix) Birth Date Relationship to Member Priority # Percent Address City State Zip Code Phone Email FCERA member? Y/N
Dependent (can have more than one)	Name SSN (if applicable) DOB
DROs / Ex-spouse(s)	SSN / Member ID Name FCERA member? Y/N

## 3.2 Process Steps

### 3.2.1 Active Members

#### Addresses and Name Changes

Address changes for active County members are updated via the Plan Sponsors' payroll system. That is, address changes will be updated by the County and then submitted to

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FCERA via the payroll interface file (PSBiweekly file). Address changes for active district members are manually updated in PENSIONS.

Deferred/Inactive/Suspense/Retired members have to mail name changes to FCERA since their information does not come through the payroll feeds. FCERA will continue to accept name changes for deferred/inactive/suspense and retired members. If however, the member returns to active service, the Plan Sponsor will have to update their payroll feed, if in use (not currently available for Special Districts).

### **Marital /Domestic Partnership Status Changes**

To establish marital status, FCERA requires Marriage Certificate.

To establish Domestic Partnership, FCERA requires state registered Domestic Partnership certificate.

If a member is married and not naming the spouse as beneficiary, FCERA needs a spousal waiver at time of retirement.

If applicable, FCERA needs copies of the DRO and Joinder if FCERA is joined in a divorce.

### **Beneficiaries**

FCERA requires all new members to complete beneficiary information on the Enrollment Card.

The Change of Beneficiary form must be completed to request any subsequent changes to Beneficiaries.


### **Status changes**

The valid member statuses are listed below:

- Active
- Retired
- Deferred
- Inactive
- Suspense
- Clearinghouse (a “holding” classification used when someone is in the process of retiring but the event has not been completed)

Status changes will be displayed FCERA member portal. Members or employers must contact FCERA to make any changes to member status, as the portal is generally display-only. (See the Member Portal process documentation for more information about the capabilities of the portal.)



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When County members terminate, a “termed” status will be sent in the Payroll reports.

When the member terminates, FCERA staff verifies the type of termination. The types of terminations are:

- Disciplinary
- Layoff
- Resignation
- Retirement

See the Termination Process documentation for further information on each type of termination.

### 3.2.2 Retired Member Information change processes

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The following change forms are available on the website or mailed out if requested:

- Direct deposit
- Address change
- Name change
- Tax withholding
- Beneficiary change (if applicable)

### 3.2.3 Beneficiary Changes

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If Option 1 or Unmodified Option is chosen, members are allowed to change their beneficiaries after retirement. If any other Option is chosen, changes to beneficiaries are blocked upon retirement.

Beneficiary changes cannot be made in the County system and sent through active payroll. They must be completed at FCERA.

## 3.3 Key Business Rules

### 3.3.1 Forms / Proof of Status


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The following forms are acceptable as proof of status:

Proof of Marriage/Domestic partnership

- Government issued Marriage Certificate or Proof of Domestic Partnership

Proof of Birth

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- Birth certificate
- Passport
- Naturalization record

#### Proof of Death

- Death Certificates

#### Name Changes

- Court Order for divorce
- Marriage Certificate
- Request for name change – Retirees only

#### Proof of Legal Guardianship

- Required for Minors upon Active Death. Must be issued by courts.

### 3.3.2 Direct Deposit

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While it is not a requirement, FCERA encourages members to use Direct Deposit for the retirement benefit.

### 3.3.3 Deductions

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The types of deductions that FCERA supports are:

- Medical (Health Insurance Premiums)
- REFCO (Retired Employees of Fresno County)
- Spousal support / Child support deductions / Levies
- Taxes
- Other


### 3.4 Areas of Concern/Risk and desired functionality of future PAS

FCERA wishes to continue receiving signed paper documents from members to affect information changes. (Per Member Portal requirements document, FCERA does not require the capability to directly update member information from the Portal at this time.)

Address changes for Active members of Special Districts will be included in the payroll spreadsheet to be uploaded to the new PAS system.

System must show effective date for all changes including name and address changes through payroll import or direct entry.

Keep prior records for name and address changes for historical purposes.

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### **Reports:**

The new PAS must be able to provide regular automated reports to show any demographic / member information changes (Name, SSN, Status Change, Address change, Phone number change, email changes, etc.) in the system either as a query or automatically. This report should also show who performed the change in the system along with a date and timestamp.

## **4 Analysis and Recommendation**


FCERA performs member information changes for active, inactive, retired, suspense and deferred members. Automating the changes as much as possible eliminates possible errors during data entry. Member ability to update own information on the portal is not required at this time but can be considered in the future.

The new PAS must allow for better integration between all systems, i.e. receive updates via the payroll file and apply changes, generate exception reports on items that did not reconcile, generate changes report, and generate interface files to the Bank with retiree information.


Keeping track of changes with data and time stamp as well as the user ID of the person making the change is critical for system audit. For certain member information changes such as marital status change, having system checklists to ensure that proper documentation is received is very important. Integration with EDMS to store and review supporting documents will expedite the process.

## **5 Requirements**


ReqID	Process	Requirement Detail	Priority
302.001	Member Information Changes	<p>The PAS will provide the capability to change basic member information with the ability to define different security/access levels on different fields. For example,</p> <ul style="list-style-type: none"> <li>• Member Name (First, Middle, Last and Suffix)</li> <li>• Employee No.</li> <li>• SSN</li> <li>• Member ID</li> <li>• Gender</li> <li>• Hire Date</li> <li>• Membership Date</li> <li>• Date of Birth (DOB)</li> <li>• Contribution Entry Age</li> <li>• Member Status</li> <li>• Member Code</li> </ul>	1

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ReqID	Process	Requirement Detail	Priority
		<ul style="list-style-type: none"> <li>• Contribution Percent</li> <li>• Position / Title</li> <li>• Department</li> <li>• Bargaining Unit</li> <li>• Salary Range</li> <li>• Step</li> <li>• Bi-weekly Rate</li> <li>• Marital Status / Domestic Partnership</li> <li>• Spouse Name / Domestic Partner Name</li> <li>• Spouse / Domestic Partner SSN</li> <li>• Employer</li> </ul>	
302.002	Member Information Changes	The PAS will provide the capability to store multiple addresses for a member, i.e. home and mailing addresses.	2
302.003	Member Information Changes	The PAS will provide the capability to allow changes to address fields via payroll transmittal file or via manual adjustment by staff member.	2
302.004	Member Information Changes	<p>The PAS will provide the capability for the following fields at minimum to be stored for each address type:</p> <ul style="list-style-type: none"> <li>• Street Address / P.O. Box</li> <li>• Address line 2</li> <li>• City</li> <li>• State</li> <li>• Zip Code</li> <li>• Country</li> <li>• Email</li> </ul>	2
302.005	Member Information Changes	<p>The PAS will provide the capability to change the following fields for a member's address:</p> <ul style="list-style-type: none"> <li>• Street Address (C/O address line)</li> <li>• Address line 2</li> <li>• P.O. Box</li> <li>• City</li> <li>• State</li> <li>• Zip Code</li> <li>• Country</li> <li>• Email</li> </ul>	2
302.006	Member Information Changes	The PAS will provide the capability to keep an audit trail of all changes performed, including a time/date stamp and a performing user ID or system ID for payroll feeds.	2
302.007	Member Information Changes	The PAS will provide the capability to keep history of all changes performed and must allow for reporting on a per-member basis with detailed history as well as generate change information in an "on demand" change report for staff members to review.	2
302.008	Member Information Changes	The PAS will provide the capability to store financial information for direct deposit purposes including but not limited to the following data:	2

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ReqID	Process	Requirement Detail	Priority
		<ul style="list-style-type: none"> <li>• Checking / Savings indicator</li> <li>• Dollar amounts for partial deposits</li> <li>• Bank Account number</li> <li>• Institution Name</li> <li>• Routing Number(s) for each account/institution</li> </ul>	
302.009	Member Information Changes	The PAS will provide the capability to store multiple concurrent accounts for direct deposits.	2
302.010	Member Information Changes	The PAS will provide the capability for drop-down selection of existing Bank institutions and corresponding routing numbers if these already exist in a table in the system.	2
302.011	Member Information Changes	The PAS will provide the capability to add new institution names and routing numbers.	2
302.012	Member Information Changes	The PAS will provide the capability to change the member's first and last names, middle name or initial and suffix.	2
302.013	Member Information Changes	The PAS will provide the capability to maintain history of name changes.	2
302.014	Member Information Changes	The PAS will provide the capability to change the member's social security information; employee number or member ID restricted to specific security access rights.	2
302.015	Member Information Changes	The PAS will provide the capability to store history of SSN, employee number or member ID number changes.	2
302.016	Member Information Changes	<p>The PAS will provide the capability to record and change the following information for member's beneficiary(ies):</p> <ul style="list-style-type: none"> <li>• Name (First, Middle, Last, Suffix)</li> <li>• Birth Date</li> <li>• SSN (if applicable/existing)</li> <li>• Relationship to Member</li> <li>• Date of Birth</li> <li>• Priority #</li> <li>• Percent</li> <li>• Address</li> <li>• City</li> <li>• State</li> <li>• Zip Code</li> <li>• Country</li> <li>• Phone</li> <li>• Email</li> </ul>	2
302.017	Member Information Changes	The PAS will provide the capability to enter Trust information for beneficiary (ies).	2
302.018	Member Information Changes	The PAS will provide the capability to receive changes to the member demographic/basic member information data via Payroll feed (PSBiweekly file from County or future uploads from Special	2

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	Project: PENSION ADMINISTRATION SYSTEM	
	Member Information Changes	

ReqID	Process	Requirement Detail	Priority
		Districts).	
302.019	Member Information Changes	The PAS will provide the capability to maintain a log of any changes submitted via the payroll feed and generate a bi-weekly report that highlights changes by category (Name Changes, Address changes, Status changes, Marital Status changes etc...)	2
302.020	Member Information Changes	<p>The PAS will provide the capability to record and allow for changes to special deductions, specifically:</p> <ul style="list-style-type: none"> <li>• Tax withholdings, including percentage and flat amount withholdings.</li> <li>• Medical insurance premiums</li> <li>• REFCO (Retired Employees of Fresno County)</li> <li>• Levies</li> <li>• Alimony</li> <li>• Child Support</li> <li>• Other deductions (ADRP and ATTY REPAY)</li> </ul>	2
302.021	Member Information Changes	<p>The PAS will provide the capability to record and allow changes to member status via payroll feed or via manual changes by staff, including but not limited to the following status descriptions/codes</p> <ol style="list-style-type: none"> <li>Active</li> <li>Retired</li> <li>Deferred</li> <li>Inactive</li> <li>Suspense</li> <li>Clearinghouse</li> <li>Terminated <ul style="list-style-type: none"> <li>• Disciplinary</li> <li>• Layoff</li> <li>• Resignation</li> <li>• Retirement</li> </ul> </li> </ol>	2
302.022	Member Information Changes	The PAS will provide the capability to change and/or add items to list of possible member statuses without the need for a script update.	2
302.023	Member Information Changes	The PAS will provide the capability to generate an exception report for any changes that could not / did not get posted to the system, including details on the error created.	2
302.024	Member Information Changes	The PAS will provide the capability for an interface where staff members can review and research each exception and clear exceptions and post changes where applicable.	2
302.025	Member Information Changes	The PAS will provide the capability to maintain a history of cleared exceptions that can be retrieved via a report for auditing and review.	2
302.026	Member Information Changes	<p>The PAS will provide the capability to categorize the information change. Following are some of the actions for employees – please note that other actions might be added in the future:</p> <ul style="list-style-type: none"> <li>• Appointment</li> </ul>	2


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	Project: PENSION ADMINISTRATION SYSTEM	
	Member Information Changes	

ReqID	Process	Requirement Detail	Priority
		<ul style="list-style-type: none"> <li>• Discharge</li> <li>• Resignation</li> <li>• Retirement</li> <li>• Other</li> <li>• Disability Retirement</li> <li>• Promotion</li> <li>• Temporary Promotion</li> <li>• Demotion</li> <li>• Transfer</li> <li>• Reorganization / Reclassification</li> <li>• Merit Increase</li> </ul>	
302.027	Member Information Changes	The PAS will provide the capability to store multiple phone numbers, e.g. Home, Cell and Alternate as well as a fax number.	2
302.028	Member Information Changes	The PAS will provide the capability to allow changes to phone numbers via transmittal file or via manual adjustment by staff member.	2
302.029	Member Information Changes	The PAS will provide the capability to enter and record the effective date of all member information changes whether the change was performed by a staff member or payroll system ID.	2
302.030	Member Information Changes	The PAS will provide the capability for peer and/or supervisor review as part of the exception clearing procedure for pre-defined exceptions that require second level review.	2
302.031	Member Information Changes	<p>The PAS will provide the capability to generate a report showing the type of change performed, the member's ID and name and staff member ID who performed the change, on an "on demand" basis for critical data changes that might require supervisor attention and review, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Changes to final benefit</li> <li>• Changes to financial data and financial institution for members receiving a benefit</li> </ul>	2
302.032	Member Information Changes	<p>The PAS will provide the capability to record and change the following information for a member's dependent:</p> <ul style="list-style-type: none"> <li>• Name (First, Middle, Last, Suffix)</li> <li>• Birth Date</li> <li>• Relationship</li> <li>• SSN (if applicable/existing)</li> <li>• Address</li> </ul>	2
302.033	Member Information Changes	The PAS will provide the capability to store multiple dependent records.	2
302.034	Member Information Changes	The PAS will provide the capability to record and change the following information for all ex-spouse(s) / DRO(s) if applicable (please note that there might be more than one ex-spouse on the member's file):	2


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	Member Information Changes	

ReqID	Process	Requirement Detail	Priority
		<ul style="list-style-type: none"> <li>Name (First, Middle, Last, Suffix)</li> <li>Birth Date</li> <li>SSN</li> <li>Member ID</li> <li>Ex-Spouse / Ex-Domestic Partner is also member at FCERA? Y/N</li> <li>Date of Marriage</li> <li>Date of Separation</li> <li>Address</li> </ul>	
302.035	Member Information Changes	The PAS will provide the capability to store multiple DRO's for a member.	2
302.036	Member Information Changes	<p>The PAS will provide the capability to capture and update the marital status:</p> <ul style="list-style-type: none"> <li>Single</li> <li>Married</li> <li>Divorced</li> <li>Widowed</li> <li>Legally Separated</li> <li>Domestic Partnership</li> </ul>	2
302.037	Member Information Changes	<p>The PAS will provide the capability to capture the following if the member is married:</p> <ul style="list-style-type: none"> <li>Is/Was spouse/domestic partner also a member (Y/N)</li> <li>Spouse's/Domestic Partner's name</li> <li>Spouse's/Domestic Partner's SSN or Member ID</li> <li>Spouse's /Domestic Partner's Employee ID (if applicable)</li> <li>Spouse's/Domestic Partner DOB</li> <li>Date of Marriage / Domestic Partnership</li> <li>Post-retirement marriage (Y/N)?</li> </ul>	2
302.038	Member Information Changes	<p>The PAS will provide the capability to capture and update the following fields for the emergency contact:</p> <ul style="list-style-type: none"> <li>Name</li> <li>Relationship</li> <li>Phone number</li> </ul>	2
302.039	Member Information Changes	The PAS will provide the capability to accept the payroll transmittal file data for an active member and overwrite any existing data in the system. Any changes applied during the last interface file import must be recorded in a demographic/ member changes report listing changes such as Name, SSN, Status Change, Address change, Phone number change, email changes, etc. for review by the Retirement Coordinator and retained in the member history record.	2
302.040	Member Information Changes	The PAS will provide the capability to automate member information changes as much as possible. Member information is stored at	2



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	Member Information Changes	

ReqID	Process	Requirement Detail	Priority
		FCERA, County, Special Districts and the Bank.	
302.041	Member Information Changes	The PAS will provide the capability to track receipt of certain core / required forms, e.g. Marriage / domestic partnership proof, proof of birth, proof of death, name changes forms, etc. both for members as well as for ex-spouses, spouses, dependents and/or beneficiaries.	2
302.042	Member Information Changes	The PAS will provide the capability to track status of mailings; for example, in case a member changed status and to remind Retirement Coordinator for follow-up at pre-defined intervals for disposition forms.	2
302.043	Member Information Changes	<p>The PAS will provide the capability for online validations and checklists – the system must have certain validation points – e.g.:</p> <ul style="list-style-type: none"> <li>• Name Change: Prompt users whether they received proper documentation and what type of document they received. If no documentation was received, generate automated form letter to send to member to provide proof and update beneficiary form.</li> <li>• Post-Retirement Spouse: Prompt user to check for marriage certificate and other proof as well as to request a Divorce decree for previous spouse. Potentially generate automated form letter to request divorce decree.</li> <li>• Validation of email addresses / addresses: make sure that address patterns look correct.</li> </ul>	2

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	Plan Sponsor Payroll Import and Processing	

## 4.4.303 Payroll Import and Processing

### 1 Overview


Currently FCERA gets a payroll interface file only from the County of Fresno. Other plan sponsors send data in Excel spreadsheets from which data is manually entered in PENSIONS.

### 2 Roles

PAS Role Name	Definition
ITSD	The county entity that is in charge of processing the county payroll. This entity creates the payroll interface and has the file available on the network for FCERA on a bi-weekly basis.
Systems and Procedures Analyst	The person at FCERA that is responsible for the pension system and the bi-weekly processing of the payroll interface.
Systems and Procedures Analyst	The person at FCERA that is responsible for validating the information for each member and insuring that the pension system is kept up-to-date and accurate for the members via the interface. Also responsible for communicating with County payroll on any issues that are discovered.
Retirement Coordinator Supervisor	The person at FCERA who receives (picks up) the payroll hard copy reports and distributes them to the Retirement Coordinator (s).
Accounting Staff	The persons at FCERA who are responsible for validating the dollar amounts for the payroll and comparing the sum of dollars on the interface with the amount of funds in GL.
ITSD	The person to contact if there is a technical issue with the interface file
Payroll Office	The person to contact if there is a data issue with the information coming across the interface.

### 3 Terms & Definitions

Term	Definition
PeopleSoft	Fresno County Human Resources Payroll. The County payroll system from which all demographic, status, service, compensation or earnings and contribution information originates for the County members in the FCERA Retirement System.
PENSIONS	Retirement Database System. This database is the primary source of current and historical data used by FCERA. It contains current information on Active and Deferred members. Anyone who retired or terminated after 1998 has full history in Pensions. Prior to 1998, only the information needed to recalculate final compensation is available.
Payday week	The week of Payday for County employees.
Interface	The file(s) that contain the data that is needed to update the FCERA Retirement System (PENSIONS). <b>PSBiweekly</b> – County active member demographic and payroll information <b>Deduction Register</b> – Retirement deduction detail for each county active member.

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Term	Definition
Pay Cycle	A series of processes and steps that are required to process interface files. There are manual and automated steps to update PENSIONS and create a variety of reports. Pay cycle includes weekly, biweekly, semi-monthly and monthly.
Payroll reports	<b>Batch</b> reports – PENSIONS generated reports or Activity reports that are used to catch any errors or discrepancies during the import process. <b>PeopleSoft</b> reports – Values from the current payroll using the county interface file as the source of data, including total dollars paid on the payroll. <b>Manual</b> reports – Reports that are created manually to support and reconcile the payroll process.
Exception	The term for a validation failure, warning or notice in the PAS system. These need to be tracked and remediated before posting to the PAS system.
Discrepancy	A difference in the expected contribution amount for a member and the amount actually deducted from their paycheck. Can apply to employee contributions or employer contributions.

## 4 Process Overview

### 4.1 Process Scope


The scope of the process starts from the point at which ITSD places the interface file on County's shared drive. This process includes initial reconciliation of the file and the import process. After the import process is completed, PENSIONS generates activity reports for all known issues that need to be resolved. The end of this process is open-ended in the sense that even though all "known" issues have been resolved; occasionally issues are discovered at a later date and then resolved.

### 4.2 Process Flow

#### 4.2.1 Steps in the Process

Pay periods end on Sundays. Interface file is available late afternoon or after hours on Friday of the week after the end of a pay period. Systems and Procedures Analyst is responsible for pulling the file and importing to PENSIONS.


- 1) Pull the PSBiweekly file and Deduction Register which is used to reconcile deductions from County shared drive.
- 2) Convert the Deduction Register (.txt file) to excel pivot table to manually reconcile any differences in employee contributions between the deduction register and PSBiweekly file.
- 3) If any discrepancies are found, request new file from ITSD and run the reconciliation again.

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- 4) Run import in test database to confirm that the file format is acceptable and the data is good.
- 5) Schedule backup of Production database and verify that users are off the system during the backup.
- 6) Run import in Production.
- 7) Hand off the Activity Reports generated in PENSIONS to Retirement Coordinator Supervisor to validate the data by reviewing and documenting reasons for variance or discrepancy. For example, there may not be enough net amounts available to take full deductions and FCERA does not allow partial collection of contributions.
- 8) Keep activity reports in binder for historical purposes.
- 9) Generate Variance Report in Excel using control total and extract information from PENSIONS for each member type and tier, and send to Supervising Account Clerk.
- 10) Wyatt Program Reconciliation Report is created at summary level to verify that the contributions are posted to the right category, and is tied to FCERA Control Total Summary Report.
- 11) Supervising Accountant reviews FCERA Control Total Summary Report.
- 12) Employer contributions are reconciled by Accountants outside of PENSIONS by running query in PeopleSoft to calculate base payroll and multiplying it with the employer rate. Employer contributions for the period should match the amount received.

### **Special Districts:**

1. Retirement Coordinator receives Excel file via e-mail and physical check via regular mail.
2. The Excel file is compared to the expected contributions excel file to confirm accuracy of the data and amount received. Discrepancies are forwarded to the appropriate district for correction.
3. Account Clerk manually enters data for individual members in PENSIONS.
4. Retirement Coordinator verifies in PENSIONS that the totals for each District match.
5. Account Clerk receives in a binder the final documentation needed to prepare a Journal Voucher.
6. Account Clerk finalizes data in PENSIONS.
7. PENSIONS generates the Controls Totals report.


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#### a) Batch reports

Code	Report Name	Comments/Sections
	Deduction Register	Retirement deduction detail for each county active member.
	Activity Reports	<p>Exception reports.</p> <ul style="list-style-type: none"> <li>• Buyback membership do not match the current membership</li> <li>• Buyback payroll contributions do not match</li> <li>• Employee payroll contributions do not match</li> <li>• Member has a contribution balance when not expected</li> <li>• Member has no contribution balance when balance is expected</li> <li>• Member is active, but has no payroll contribution</li> <li>• Employment status change</li> <li>• Employee class change</li> <li>• Part time hours change</li> <li>• Members close to 30 years</li> <li>• Service buy back completed</li> <li>• Employee membership change</li> <li>• Employee name change</li> <li>• Contribution adjustments</li> <li>• Excess annual leave</li> <li>• Category status change</li> <li>• Employees with unknown amounts</li> <li>• Active and Leave members not on PeopleSoft payroll</li> <li>• Tier II membership inconsistencies</li> <li>• Tier III membership inconsistencies</li> </ul>
	Control Totals Summary Report	Generated from PENSIONS data after PSBiweekly employee payroll import processing. It contains summations of all PENSIONS transactions for the period. Similar report is generated for Special District members also.

#### b) Manual Reports

Code	Report Name	Comments/Sections
	Variance Reports	Manually generated in Excel

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### 4.2.2 Other Sponsors

The major process flow in this process is related to the payroll interface, which supplies the data related to the payroll for the major sponsor, Fresno County. In addition to this sponsor, there are other sponsors. There is more than a single sponsor providing data to the PAS system, thus some flexibility is needed in the PAS system to allow import or entry of the data provided.

Following Special Districts provide excel files:

- Clovis Memorial
- Fresno Mosquito and Vector Control District
- Fresno-Madera Area Agency on Aging

Currently these files are manually entered in PENSIONS. New PAS must be able to receive and post data from excel files.

### 4.3 Areas of Concern/Risk

- Some districts have not adopted all tiers. The PAS should validate plan sponsors and tiers, and provide exception reports.
- The new PAS system must perform validation of contributions (as well as other validations) on an individual level.
- The PAS system should report, track and allow resolution for all exceptions and validation failures due to data coming in on the interface file(s). In addition, the system should clearly label each exception or validation failure as either a warning or a fatal exception. A warning may update the PAS system once it has been approved, but a fatal exception should be prevented from making an update to the PAS system.
- Once a contribution discrepancy (a difference between an expected value and actual value) is detected by the PAS, the system should be able to track this difference (a discrepancy) and its resolution at a later date. The PAS system must have the ability to track and maintain discrepancies both on an individual level and also provide method to make updates to groups of members based on Union code or Bargaining Unit. A Union can represent more than one Bargaining Unit but a Bargaining Unit can be represented by only one Union.
- A report by effective date or pay date for each pay period is needed.
- Ability to upload interface files (excel, .txt, .csv) from Special Districts and run reconciliation reports.
- Ability to run different pay cycles (weekly, biweekly, semi-monthly, monthly)
  - Clovis Memorial – semi-monthly; 1<sup>st</sup> and 16<sup>th</sup> of the month
  - FMAAA – biweekly

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- Mosquito and Vector Control District – monthly
- Final compensation depends on type of pay cycle and PAS must be able to calculate Final Compensation for members who were employed by multiple sponsors with different pay cycles.
- Ability to add new Plan Sponsors at any time.

## 4.4 Options for customization of the interface

### 4.4.1 Customize the county interface to fit the new specs for the PAS system

In this option, the bulk of the customization will be done by the payroll system to fit the specifications of the target PAS system. This option will require more work to be done on the county payroll side, which is not the preference for FCERA.

### 4.4.2 Customize the PAS system to accept the existing county interface (Preferred option)

In this option, the bulk of the customization will be done by the PAS system. It is likely that some changes will be needed in the existing payroll interface but the main effort will be done in the PAS system to adapt to the data being provided on the current or modified payroll interface files. Current data deficiencies in the PAS payroll interface need to be addressed for this option to work.

## 4.5 Key Business Rules

The County and the Special Districts are responsible for accurately and completely reporting all data needed by FCERA, the Retirement System. On the other hand, FCERA does have the final fiscal responsibility to the members.

## 4.6 Data Points

### 4.6.1 Common data issues

None identified at this time.

### 4.6.2 Additional Functionality Desired

- There are a few types of updates that are sometimes made by FCERA staff to the retirement database directly. For Active County members these should be initiated

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by the County Human Resources and flow through to the PAS through the interface file.

## 5 Analysis and Recommendation

There are times when the County payroll file (PSBiweekly) does not have correct deduction amounts. To find any discrepancy FCERA currently reconciles the data by comparing PSBiweekly with the deductions register manually. This is a time consuming process. Automating the import process and validating the deduction amounts in PAS before posting to member records will make the process more efficient.


The new PAS must have data validations and exception reporting that includes warnings that will allow posting the contributions and fatal errors that will not allow contribution postings and opportunity to correct the errors before posting.

Importing the PSBiweekly file in the current system (PENSIONS) requires all users to log off the system which takes away staff productivity. A new PAS must be able to run interface files in live production while users are logged in.


## 6 Requirements

ReqID	Process	Requirement Detail	Priority
303.001	Payroll Import and Processing	<p>The PAS will provide capability to import key data in the active payroll interface file (PSBiweekly &amp; Deductions Register) from County pertaining to member demographics and payroll.</p> <p>The PSBiweekly file is a PeopleSoft file extracted from the Fresno County Human Resources Payroll system. The layout details for this file can be found in the appendix.</p> <p>Deductions Register contains retirement deduction detail for each county active member. The layout details for this file can be found in the appendix</p>	1
303.002	Payroll Import and Processing	<p>The PAS will provide capability to compare deductions that come through PSBiweekly with Deductions Register before posting to member records and provide exception reports that include but not limited to:</p> <ul style="list-style-type: none"> <li>• Buyback membership do not match the current membership</li> <li>• Buyback payroll contributions do not match</li> <li>• Employee payroll contributions do not match</li> <li>• Member has a contribution balance when not expected</li> <li>• Member has no contribution balance when balance is</li> </ul>	2




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ReqID	Process	Requirement Detail	Priority
		<p>expected</p> <ul style="list-style-type: none"> <li>• Member is active, but has no payroll contribution</li> <li>• Employment status change</li> <li>• Employee class change</li> <li>• Part time hours change</li> <li>• Members close to 30 years</li> <li>• Service buy back completed</li> <li>• Employee membership change</li> <li>• Employee name change</li> <li>• Contribution adjustments</li> <li>• Excess annual leave</li> <li>• Category status change</li> <li>• Employees with unknown amounts</li> <li>• Active and Leave members not on PeopleSoft payroll</li> <li>• Tier II membership inconsistencies</li> <li>• Tier III membership inconsistencies</li> </ul>	
303.003	Payroll Import and Processing	The PAS will provide capability to correct or verify exceptions found in exception reports before posting data from PSBiweekly to member records.	2
303.004	Payroll Import and Processing	The PAS will provide capability to import key data in the active payroll interface and validate data such as earn codes, bargaining units, etc...	2
303.005	Payroll Import and Processing	The PAS will provide capability to import an electronic data file per pay period from plan sponsors that contains basic member demographic data and critical payroll and contribution data for each member.	1
303.006	Payroll Import and Processing	<p>The PAS will provide capability to validate basic parameters about the transmittal file prior to executing the import. These validations must include, but may not be limited to:</p> <ul style="list-style-type: none"> <li>• Valid Plan Sponsor Identification Code</li> <li>• Valid Pay Period and associated Pay Date</li> <li>• Valid File Layout</li> <li>• Valid File Format</li> <li>• Valid Transmittal Batch Number</li> <li>• Batch Totals</li> <li>• Total Member Count</li> </ul>	2
303.007	Payroll Import and Processing	The PAS will provide capability to process multiple payrolls on different schedules. i.e., weekly, bi-weekly, semi-monthly or monthly.	2
303.008	Payroll Import and Processing	The PAS will provide capability to process and post contributions in accordance with each Plan Sponsor's payroll cycle.	2
303.009	Payroll Import and Processing	The PAS will provide capability to prevent duplicate or otherwise invalid data from posting to member record.	2
303.010	Payroll Import and Processing	<p>The PAS will provide capability to import other payroll interface in .txt, .csv and excel file formats.</p> <p>Multiple Plan Sponsors providing data to the PAS system, thus some flexibility is needed in the PAS system to allow import or entry of the data provided.</p>	2

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ReqID	Process	Requirement Detail	Priority
303.011	Payroll Import and Processing	The PAS will provide capability to validate contributions at the member level.	2
303.012	Payroll Import and Processing	The PAS will provide capability to report, track and allow resolution for all exceptions and validation failures due to data from the interface file(s).	2
303.013	Payroll Import and Processing	The PAS will provide capability to define exceptions as a warning or fatal error.	2
303.014	Payroll Import and Processing	The PAS will provide capability to clearly label each exception or validation failure as either a warning or a fatal error as it happens.	2
303.015	Payroll Import and Processing	The PAS will provide capability to prevent updates to the PAS when fatal errors exist.	2
303.016	Payroll Import and Processing	The PAS will provide capability for staff to review warnings and update the PAS system once it has been approved.	2
303.017	Payroll Import and Processing	<p>The PAS will provide capability to validate and track and correct payroll interface records.</p> <p>Perform and track complete validation on each record being imported. This validation must ensure that the following elements (among other validated values) are correct or allow any incorrect or incomplete records to be identified, revisited and corrected:</p> <ul style="list-style-type: none"> <li>• Earnings (amount paid to employee)</li> <li>• Hours (hours toward service credit)</li> <li>• Contributions (contributions on the earnings)</li> </ul>	2
303.018	Payroll Import and Processing	<p>The PAS will provide capability to manually update payroll data (hours and/or earnings) with proper security/authorization.</p> <p>Incorrect earnings or hours associated with multiple pay periods or prior period adjustments may cause problems with Final Average Salary calculations and/or Service Years calculations. .</p>	2
303.019	Payroll Import and Processing	<p>The PAS will provide capability to process interface file records by plan.</p> <p>FCERA collects data for non participants for processing future service credit purchases. However, Employees who are not members of FCERA except Extra Help must be ignored.</p>	2
303.020	Payroll Import and Processing	The PAS will provide capability to accept contributions for members with reduced hours and report variances between calculated amount and received amount.	2
303.021	Payroll Import and Processing	<p>The PAS will provide capability to create an alert for contributions received from part-time employees.</p> <p>Contributions would be expected for someone with FCERA membership and requires a permanent position with at least 50% of fulltime hours.</p>	2
303.022	Payroll Import and Processing	<p>The PAS will provide capability to add new members from the interface files.</p> <p>FCERA requires an enrollment card to establish membership.</p>	2
303.023	Payroll Import and Processing	The PAS will provide capability to produce detailed reports for reconciliation of individual transmittal batches by tier and contribution type.	2

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ReqID	Process	Requirement Detail	Priority
		<p>These reports will contain all critical member-specific data, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Employee Name</li> <li>• Employee Number</li> <li>• Department</li> <li>• Section</li> <li>• Job Class</li> <li>• Member Status</li> <li>• Hours</li> <li>• Rate High</li> <li>• Rate Low</li> <li>• Pensionable Salary</li> <li>• Contribution Amount</li> </ul>	
303.024	Payroll Import and Processing	<p>The PAS will provide capability to produce variance reports for each transmittal batch.</p> <p>The variance percentage or dollar amount must be user defined. It will list all members who have a variance as selected by the user of a percentage or dollar amount (higher or lower) from the previous pay period transmittal in one or more critical data element, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Pensionable Salary</li> <li>• Earnable Salary</li> <li>• Contribution Amount</li> <li>• Hours worked</li> </ul>	2
303.025	Payroll Import and Processing	<p>The PAS will provide capability for detailed reporting on those records that have not passed validation and have been written to the exceptions table.</p> <p>The following information must be reported:</p> <ul style="list-style-type: none"> <li>• Plan Sponsor</li> <li>• Pay Period / Transmittal Number</li> <li>• Name</li> <li>• Employee or other ID Number</li> <li>• Validation Rule Violation Description</li> <li>• Contribution Imbalance Amount (if applicable)</li> </ul>	2
303.026	Payroll Import and Processing	The PAS will provide capability to display all transmittal exceptions on a user interface screen.	2
303.027	Payroll Import and Processing	The PAS will provide capability for the user to select an exception and post it to the member record once corrective action has been taken.	2
303.028	Payroll Import and Processing	<p>The PAS will provide capability to provide for each individual member, on a single member information screen, the following at a minimum:</p> <ul style="list-style-type: none"> <li>• Employee ID Number</li> <li>• Current Plan</li> <li>• Current Employer</li> <li>• Date of Birth</li> <li>• Present Age</li> <li>• Entry Date</li> </ul>	2

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ReqID	Process	Requirement Detail	Priority
		<ul style="list-style-type: none"> <li>Adjusted Entry Date</li> <li>Age at Entry</li> <li>Current Balance</li> <li>Member Status</li> <li>Separation or Termination Date</li> <li>Bargaining Unit</li> <li>Job Class</li> </ul>	
303.029	Payroll Import and Processing	<p>The PAS will provide capability to provide for each individual member, on a single member contribution screen, individual posted records for each contribution type reported per pay period.</p> <p>These records must include:</p> <ul style="list-style-type: none"> <li>Contribution Type</li> <li>Record Type</li> <li>Amount</li> <li>Pay Period From Date</li> <li>Pay Period To Date</li> <li>Pay Date</li> <li>Record Status [Posted, Adjusted, Cancelled]</li> <li>Status Date</li> <li>Contribution Amount</li> <li>Pre-Tax and Post-Tax Amounts</li> <li>Transmittal Batch Number</li> <li>Record Method [Batch or Manual]</li> </ul>	2
303.030	Payroll Import and Processing	<p>The PAS will provide capability to track and maintain contribution records of varying types, including but not limited to, the following Record Types:</p> <ul style="list-style-type: none"> <li>Member Contributions</li> <li>Adjustments</li> <li>Service Purchase Payments</li> <li>Contribution refunds</li> </ul>	2
303.031	Payroll Import and Processing	<p>The PAS will provide capability to automatically import contribution total amount and split the total contribution into the appropriate categories. i.e., Basic Contribution, COLA Contribution, Supplemental COLA and Supplemental Benefit Contribution, based on the percentage breakdown for each fiscal year. The percentage breakdown must be stored in the system and be effective dated so that the system can maintain a historical view, since these breakdowns will also be needed for buyback calculations.</p>	2
303.032	Payroll Import and Processing	<p>The PAS will provide capability to track and maintain contribution record status of varying values, including but not limited to, the following Record Status:</p> <ul style="list-style-type: none"> <li>Posted</li> <li>Adjusted</li> <li>Cancelled</li> </ul>	2
303.033	Payroll Import and Processing	<p>The PAS will provide capability to create and maintain an audit trail that will record any adjustment, cancellation or manual posting of contribution data to a member's record.</p>	2

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ReqID	Process	Requirement Detail	Priority
303.034	Payroll Import and Processing	<p>The PAS will provide capability to record and maintain method of entry for each member contribution record. These methods must be some variation of:</p> <ul style="list-style-type: none"> <li>• Active Payroll File Import</li> <li>• Manual Record Entry</li> </ul> <p>The method of entry value must be automatically populated, based on the origin of the contribution records.</p>	2
303.035	Payroll Import and Processing	<p>The PAS will provide capability to provide a Life to Date contribution screen for each member, displaying on a single screen the following:</p> <p>Life to Date Contributions by Type:</p> <ul style="list-style-type: none"> <li>• Basic contributions, pre-tax</li> <li>• Basic contributions, post-tax</li> <li>• COLA contributions, pre-tax</li> <li>• COLA contributions, post-tax</li> <li>• Supplemental Benefit contributions, pre-tax</li> <li>• Supplemental Benefit contributions, post-tax</li> <li>• Supplemental Benefit COLA contributions, pre-tax</li> <li>• Supplemental Benefit COLA contributions, post-tax</li> </ul> <p>Note: For Supplemental Benefit, there is a special contribution balance for all people that were active/deferred/suspense members at 1/1/01. It is titled "ER contributions" and is in the member section but does not belong to the member. It is never refunded to the member nor reported to the member. At termination or retirement, the \$1 is transferred to the employers' current service account.</p> <p>Following information must also be totaled for each member:</p> <ul style="list-style-type: none"> <li>• Total Contributions</li> <li>• Total Interest Posted</li> <li>• Combined Total Contributions and Interest</li> </ul>	2
303.036	Payroll Import and Processing	The PAS will provide capability to segregate contributions by Service Purchase Contract contributions and "regular" contributions.	2
303.037	Payroll Import and Processing	The PAS will provide capability to import member data on those members that are currently on leave, even if they do not have pensionable salary or hours to report for those periods of leave.	2
303.038	Payroll Import and Processing	<p>The PAS will provide capability to provide a summary report on any contribution transmittal file, including, but not limited to, the following information:</p> <ul style="list-style-type: none"> <li>• Batch Number</li> <li>• Pay Period Begin Date</li> <li>• Pay Period End Date</li> <li>• Pay Date</li> <li>• Total Contribution Amount</li> <li>• Number of Members Reported</li> </ul>	2

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ReqID	Process	Requirement Detail	Priority
303.039	Payroll Import and Processing	<p>The PAS will provide capability to an authorized user to reverse, or roll back the transmittal import process if the transmittal file is discovered to be invalid.</p> <p>No residual records or data of any sort will remain with regard to g/l, member or employer records such as contribution, service, hours, etc... In other words, the records will reverse so that they are not posted.</p>	2
303.040	Payroll Import and Processing	The PAS will provide capability to audit or track rollback or reversal of transmittal file.	2
303.041	Payroll Import and Processing	The PAS will provide capability to calculate anticipated contributions, based on each member's transmitted payroll data.	2
303.042	Payroll Import and Processing	The PAS will provide capability to compare the anticipated contribution Amount to the actual contribution amount transmitted.	2
303.043	Payroll Import and Processing	The PAS will provide capability to report on contributions or adjustments received for someone who has a member status other than Active.	2
303.044	Payroll Import and Processing	The PAS will provide capability to identify and report on active members with 30 years or more of service, but for whom contributions have been received.	2
303.045	Payroll Import and Processing	The PAS will provide capability to accept salary and service credit for active members with 30 years or more of service, but for whom contributions have stopped.	2
303.046	Payroll Import and Processing	<p>The PAS will provide capability to identify and create a new member record if contributions exist in a transmittal file for a member with a status of Active, but for whom no matching member record exists in the system. Matching criteria will consist of, but not be limited to:</p> <ul style="list-style-type: none"> <li>• Name</li> <li>• SSN</li> <li>• Employee ID</li> <li>• Date of Birth</li> </ul>	2
303.047	Payroll Import and Processing	The PAS will provide capability to report on all new member records created through the transmittal import process, by batch.	2
303.048	Payroll Import and Processing	<p>The PAS will provide capability to categorize and report transmittal data exceptions by severity.</p> <p>Those that have been categorized as non-fatal (Warning) will allow data to be posted. Those categorized as fatal error will not post.</p>	2
303.049	Payroll Import and Processing	<p>The PAS will provide capability to allow an authorized user to manually correct transmittal data, providing an audit trail for internal control.</p> <p>This would be limited to salary and contribution amounts only for County employees. Personal information will be controlled by the import.</p>	2
303.050	Payroll Import and Processing	<p>The PAS will provide capability to capture, track and report member record activity that results in a change in total member balance, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Payroll Contributions Postings</li> </ul>	2

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ReqID	Process	Requirement Detail	Priority
		<ul style="list-style-type: none"> <li>Interest Posting</li> <li>Adjustments</li> <li>Cancellations</li> <li>Reserve balance</li> </ul>	
303.051	Payroll Import and Processing	The PAS will provide capability to store/archive historical transmittal exception errors (messages) for reporting purposes, even after the exception has been "cleared" and "posted" to the member's record.	2
303.052	Payroll Import and Processing	<p>The PAS will provide capability to produce reports to facilitate the payroll import and validation process.</p> <p>Number of reports is used for reviewing and reconciling the payroll interface process. The PAS must have the ability to reproduce these reports.</p>	2
303.053	Payroll Import and Processing	The PAS will provide capability to import data file live in production, without affecting the user's ability to access the system.	2

## 7 Appendix – PeopleSoft Interface Files

The PeopleSoft Interface file is kept on a shared drive at the County each pay period.

PSBiweekly file layout:

Field Name	Start	Width
EEId	1	8
Ssn	9	9
Name	18	50
Addr1	68	35
Addr2	103	35
City	138	30
State	168	2
Zip	170	10
Birthdate	180	8
ServiceDate	188	8
RetEntryDate	196	8
EntryAge	204	3
Gender	207	1
MaritalStatus	208	1
PayrollUpdate	209	8
OldSickLeave	217	11
OldAnnualLeave	228	11
AnnualLeave	239	11
DeptNum	250	10
DeptName	260	10
JobCode	270	6
JobDesc	276	10
Class	286	3


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FTPT	289	1
RTPct	290	3
Integrated	293	1
Membership	294	2
Status	296	1
StatusDate	297	8
Action	305	3
ActionReason	308	3
Sru30Y	311	1
Freq	312	1
Pay	313	11
RetCont	324	10
RetCOL	334	10
BuybackCont	344	10
BuybackCOL	354	10
RetContLess162	364	10
RetContMore162	374	10
RetCOLLess162	384	10
RetCOLMore162	394	10
HoursWorked	404	4
SuppRetCont	408	10
SuppRetCOL	418	10
SuppRetContLess162	428	10
SuppRetContMore162	438	10
SuppRetCOLLess162	448	10
SuppRetCOLMore162	458	10
SuppBuybackCont	468	10
SuppBuyBack	478	10


Deduction Register Layout:

Field Name	Start	Width
PPB Date	1	8
PPE Date	9	8
Emplid	17	8
SSN	25	9
Name	34	50
Off Cycle	84	1
Membership	85	6
Curr Contrib	91	10



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Misc Mkup	101	10
Safety Mkup	111	10
Misc COL	121	10
Safety COL	131	10
Supp Ee	141	10
Safety Supp Ee	151	10
Supp mkup	161	10
Supp Col mkup	171	10

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## 4.4.304 - Purchase of Service Credit

### 1 Overview

The goal of the Purchase of Service Credit process is to allow eligible members to purchase qualified FCERA service time through lump sum payment, payroll deduction, direct rollover or a combination, for contributions and interest due for the time purchased.

### 2 Roles


PAS Role Name	Definition
Retirement Coordinators	Staff member responsible for all changes to member information in the pension system.
Members	Eligible FCERA members who wish to purchase service credit in the retirement system
Retirement Coordinators	Personnel who are responsible for the setup of active payroll deductions and change management
Accountants	Personnel who are responsible for the General Ledger and Accounts Payable entries in the NAV GL system once payments are received.

### 3 Process Overview

#### 3.1 Process Scope

At FCERA, there are two (2) primary roles that fall within the scope of the Purchase of Service Credit process, which are as follows:

- Confirmation and Calculation** – FCERA staff members must confirm that the requesting member is eligible to purchase service credit and that all necessary parameters are documented and verified as appropriate. The exact payment amount required to purchase service credit can then be calculated. In addition to the contributions due, this calculation must include appropriate amounts of historical interest for each applicable interest period in which service credit is being purchased. If the member selects a payment plan option, additional interest will be added to the purchase amount. The interest is currently at 8% but might be adjusted in the future; therefore the new PAS must be flexible enough to allow for changes to the interest percentage without the need of programming updates and keep prior interest rates and apply to those periods being calculated.
- Payment Management** – Once the payment amounts and options have been communicated to the member, he or she will select a payment method. FCERA staff members will then complete the purchase of service credit arrangements accordingly.

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## 3.2 Process Flow

This section reviews the following aspects of the Purchase of Service Credit process:

- Purchase of Service Credit processes
- Communication and Follow-up with Member and Employer System
- Payment Option Management

### 3.2.1 General Processing Steps

#### Prior Public Service


- 1) FCERA receives an e-mail or a completed request for service credit from member requesting service purchase within 90 days of membership.
- 2) Verify that member is eligible to make the service purchase by contacting the other agency and the retirement system.
- 3) Calculate the service purchase time and amount, and send letter and election to purchase form with options to member. Service credit is manually calculated and cost is calculated in PENSIONS.
- 4) Member selects the option and submits the election to purchase form within six weeks. If member elects to pay via lump sum or direct rollover money has to be to FCERA by either 6/30 or 12/31.
- 5) Retirement Coordinator updates PENSIONS with option selected by the member.

#### Prior County Service / Medical / Military

- 1) Once FCERA receives an e-mail or submits Request for Service Credit form from the member, a letter acknowledging the receipt of form is sent to the member.
- 2) Research and verify eligibility, and calculate service credit and cost.
- 3) Deferred members have the option of making a lump sum payment or direct rollover. Active members can choose from one of three options. 1) Payroll deduction 2) lump sum or 3) rollover.
- 4) Assign file to Retirement Coordinator to update PENSIONS who will send memo to Plan Sponsor to notify member's intent to purchase service credit.

#### Redeposit

- 1) After member submits a request to redeposit, documentation for the period of time and amount of refund that will be used for redeposit will be researched.

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- 2) Verify if member took out contributions between July 1, 2002 and February 13, 2007 and refunded prior to January 1, 2008 due to UAAL project (overpaid contributions refunded) then have the redeposit amount reduced by the refund.
- 3) Create amortization schedule or payment plan using coloring sheet if payroll deduction is selected.
- 4) Once payment plan is complete, documents are filed in member's file.

### **3.2.2 Communication and Follow-up with Member and Employer System**

Once the calculations have been completed, FCERA staff members must communicate the total amount due along with a description of the various payment options available to the member.

When the member returns the signed contract and indicates that they would like to have the contract executed via payroll deductions, FCERA staff must communicate the terms of the contract to the respective Plan Sponsors.


If member does not return the signed contract, no further action is required from FCERA.

### **3.2.3 Payment Option Management**

If the member opts to complete the Purchase of Service Credit, he or she will select to pay the amount due in one (or a combination) of three ways:

- **Lump Sum Payment** – This payment option is accepted using post-tax dollars but can also be accepted using pre-tax dollars via direct rollover (see third option below). Payments are usually submitted as cash or check.
- **Payroll Deductions** – This payment option must be set up through the member's Plan Sponsor. Payments for this option are accepted using pre-tax dollars.
- **Direct Rollover** – This payment option only accepts pre-tax dollars from tax qualified plans such as a 401(a), 401(k), Keogh, 403(b), 457 as well as Individual Retirement Accounts (IRA). Partial or full lump sum payments can be made via rollover from any one of the tax qualified plans as specified in the FCERA resolution which requires conclusive proof that the IRA does not include any post-tax dollars.
- **Combination** – Member may use any of the options above.

Each of these options requires certain procedural tasks be completed, ultimately resulting in the posting of payment(s) and service time to the member's record. Member will not receive any credit unless service credit purchase is paid in full.

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### 3.3 Areas of Concern/Risk

Based on the current business processes within the scope of the Purchase of Service Credit process, the following section identifies areas in which the new Pension Administration System should be able to provide more functionality.

#### 3.3.1 Amortization Schedule

Creating amortization schedule based on various criteria would be an improvement from the current manual process using coloring sheet.

#### 3.3.2 General Automation of Documents


In order to eliminate the manual process of taking data from Excel worksheets and populating the data for service contracts, the new PAS should have the ability to generate a purchase of service credit worksheet and service contract based on the data that exists within the system using the parameters selected by the Retirement Coordinator for a specific member.

The worksheets and contracts will still need to be verified by FCERA staff members as part of the internal control procedures, but the total amount of time to process a purchase of service credit should be reduced and streamlined.

#### 3.3.3 Input errors

In order to reduce the amount of input errors for a purchase of service credit, the new PAS should have a validation check when the retirement coordinator is entering the contract details into the system based on certain criteria for various input fields. For example:

- Length of Purchase of Service Credit cannot exceed the specific leave period being purchased.
- System must validate that with an override, the amount of payments should not exceed the number of payments allowed for the selected Purchase of Service Credit.
- Whenever possible the system must pull any compensation earnable including additional pensionable pay components automatically from the PAS. If the data is present, the system must pull actual pay data from the historic PAS data to derive actual contribution data.
- Table should maintain contribution rates that are applicable during the date of membership. (e.g., Rate 1% or 2%)
- Enter year and month of date of membership – pull this data and calculate the appropriate interest.

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### **3.3.4 Payment Tracking**

The capability of the system to identify service types attributed to a Purchase of Service Credit and track and link payments and service with a particular service contract would be an enhancement from the current manual process.

### **3.3.5 Failsafe Points**

The new PAS should have the ability to provide failsafe points when a retirement coordinator is changing a Purchase of Service Credit option. When a Purchase of Service Credit contract is being modified, the system should validate that the new contract number is not identical to one that is already in the system. In addition, when any service credit contract is being modified in the system, the new PAS should prompt the user to provide a reason for the service credit change as another failsafe point to ensure the change is desired.

### **3.3.6 Interest Factor and Interest Posting**

If the member selects a payment plan option via payroll deductions, additional interest in the form of interest factor will be added to the purchase amount. This interest factor is a percentage – currently 8% -- that accounts for the interest that would have been applied to accumulated contributions. For example, if a member would buy back time from 5 years ago then the member would have to pay the base amount plus the accumulated interest over the last 5 year period – i.e. FCERA will factor in 10 interest posting periods. However, if a member now would choose to use payroll deductions / a payment contract to pay off the Purchase of Service Credit over a pre-defined time period, then FCERA would also add an interest factor (currently 8%) to the amount.

The interest factor is currently at 8% but might have to be adjusted in the future. Therefore, the new PAS must be able to accommodate for the interest factor and must be flexible enough to allow for changes to the interest factor without the need for programming changes.


Prior interest is needed for calculations and the new PAS must keep track of historic interest rates to apply to the periods used in calculations.

## **3.4 Key Business Rules**

The following section details the rules that apply to each type of service credit.

### **3.4.1 Calculation of Contributions and Interest Owed**

Once the exact beginning and ending date parameters have been confirmed, it is possible to calculate the total amount of employee contributions and interest that are needed to purchase the service credit.

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- Interest on prior service and public service is calculated from the entry point into the system, to the interest apportionment period at time calculation (6/30 or 12/31).
- Interest on redeposit is calculated from the closest 1/1 or 7/1 date from point of original refund to the interest apportionment period at the time of calculation (6/30 or 12/31).
- Interest on medical leave and active military leave of absence without pay is calculated from the closest 1/1 or 7/1 date following the leave of absence period to the current interest apportionment period at time of calculation (6/30 or 12/31).

### **3.4.2 Prior County Service (Service within Fresno county and Special Districts that was excluded from membership)**


All FCERA members shall be permitted to purchase time for eligible extra help/part time, pre-membership, seasonal, or temporary time under dictates of Government Code Section 31641.5. The following rules apply:

- Purchase of Service Credit period must be attributable to County time worked while the employee was not eligible for FCERA membership.
- The service time to be purchased must be certified by the applicable employer system where the time was worked.
- Member must pay the contributions that would have been made to the retirement fund for the length of time being purchased, based on the contribution rate and salary at the original date of membership for that service period in FCERA, plus the interest that would have accrued on those contributions since the date of membership.
- The entry date to the system will not be altered – it remains the date that membership began, even if prior service time is purchased.

### **3.4.3 Redeposit**

Active and Deferred members shall be allowed to redeposit previously withdrawn contributions pursuant to the dictates of Government Code Section 31652. The following rules apply:

- The repayment term for payment plans may not exceed the length of the period of service being purchased. For example, if an active member is purchasing three years service credit, that member will have the option of choosing payroll deductions over three years.
- Except for Safety members (in their current position or in their position while a member of FCERA), member must return to work in order to redeposit or if the

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- contributions were withdrawn prior to 1971, can redeposit without returning to work.
- Member must redeposit all contributions previously withdrawn.
  - There is **no** posting of pro-rata service for redeposit payments, if total payment is not completed for any reason, any partial payments will be refunded.
  - If terminating prior to the completion of a payment plan for a redeposit, the full amount paid will be refunded and no service credit issued. If the member elects to defer and leave funds on deposit, he or she may make a lump sum payment for the balance due.
  - Member must pay all of the previously withdrawn retirement contributions plus the interest that would have accrued on those contributions had they remained on deposit since the date of withdrawal.
  - Service credit will be applied to the retirement tier and classification in which it was originally accrued.
  - Anyone who paid contributions between July 1, 2002 and February 13, 2007 and refunded prior to January 1, 2008, will require an adjustment to the redeposit amount due to UAAL project (overpaid contributions refunded).

#### 3.4.4 Medical Leave

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- Leave must be an approved medical leave or FMLA absence.
- The member may purchase only up to twelve months of service per leave period.
- The member must have been an active member in the FCERA system during the leave of absence and must return to work to be eligible to purchase the service time.
- The number of payments allowed may equal but not exceed the total service time being purchased – i.e. if the member executes a Purchase of Service Credit for a leave period of 12 months, then the payroll deductions may also not exceed more than 26 pay periods, 24 pay periods for semi-monthly plan sponsors, or 12 pay periods for monthly plan sponsors.
- Medical leave of absence must be appropriately identified on the history card maintained by the plan sponsor.
- The member must pay the contributions that would have been made to the retirement fund plus the interest that would have been accrued on those contributions from the date of the leave until payment is completed.
- If the member is granted a salary increase during the leave period being purchased, the cost of the amount purchased is increased appropriately from the effective date of the increase.



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### 3.4.5 Public / Military Service

- Service with specific public agencies may be purchased as FCERA service time. Public agency is defined as:
  - 1) A Federal Agency is any department or agency of the United States government, including active military service. A DD214 form and number of points, depending on type of military service, is needed.
  - 2) Any department or agency of the State of California, including school districts (PERS/STRS).
  - 3) Any city or county within California that has a reciprocal agreement with PERS.
- Prior public service can only be purchased while an active member.
- The member cannot be eligible to receive a retirement benefit from the other entity for the service being purchased.
- The member must not have re-deposited or purchased service credit with any other public agency for the service being purchased.
- The purchase must be an equivalency of time; therefore some conversion to a monthly or bi-weekly basis may be necessary.
- The purchase and service credit classification is based on the membership tier and classification at the time of membership. Except that time purchased as general time can be converted to safety time if the member later becomes a safety member.
- The calculation for the cost is the employee contribution at membership (based on the contribution rate and salary at the original date of membership) times two, plus all applicable interest from date of membership to calculation.
- Service credit will be applied to the retirement tier in which the member was placed at the time of membership in FCERA.
- Service credit for Public Service purchases is capped at four years except for FMAAA employees who can purchase up to the time available for purchase.
- Public service can be paid lump sum or installments not to exceed five years.
- Military leave of absences during active periods of membership can also be purchased. The rules for prior public service do not apply to those periods of service.
- Time purchased does not count towards eligibility for benefits. For example, the minimum of ten years of service needed to retire, minimum of five years of service needed for a non-service connected disability, death benefit, health benefits, or vesting.


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- Calculation is based on age, salary, and tier/classification at most recent date of membership.

### **3.4.6 Payment Option Management**

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- Installments: Payment plan must include the interest factor and projected interest for any semi-annual interest posting periods.
- If service is purchased in one lump sum, all within the same interest period, then no interest factor is assessed (please also see section on Interest Factor).
- If the Purchase of Service Credit is made on a payment plan, an interest factor will be charged regardless of whether it is completed within the same interest period. This should be handled differently by the new PAS. Please refer to the “Areas of Concern/Risks” section in this document for more details surrounding this business rule and future enhancements to the PAS.
- If a member takes an approved leave without pay, service credit payments (pre-tax or post-tax) will be placed on hold automatically until the member returns to work and is once again on payroll.
- In the event of an active member’s death, the beneficiary is given the opportunity to pay off any service purchase agreements active at the time of death. This is true for any type of service purchase where the beneficiary is eligible to receive a benefit.
- Pre-tax payment plans are irrevocable and per IRS regulation, cannot be changed or pre-paid, except in the event of termination, retirement, or death.
- Payroll deductions are pre-tax only. However, need to have the option for after tax installments.
- Prior service, medical and military leaves of absence and public service may be purchased in increments – it does not need to be purchased all at once. But it is important to remember two significant exceptions to this rule:
  - The member must buy back the most recent time or latest in time as required by law for prior service (service excluded from membership), i.e. extra help time.
  - Medical and military leaves of absence that occur within a refund period cannot be purchased until the refund has been re-deposited.
- Redeposits cannot be purchased incrementally, and must be made on a single contract (i.e. you can buy partial credit for other contracts and continue to do so, re-deposit can only be done as one contract).
- If a member is deferred, they can purchase service time while they are deferred but must purchase this via lump sum payment.

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- Service time purchased in the form of a Public Service credit is not included in the determination of eligibility for retirement. Only FCERA time would count toward the eligibility.
- If a member decides to retire in the middle of payment plan, he/she gets to keep what they purchased or pay lump sum for the rest.
- If a member is terminated without retirement, he/she keeps what is paid for and may pay off the contract lump sum prior to last day of employment.
- If retired, member has four months to purchase using lump sum using personal check or rollover from another qualified plan.

### 3.4.7 Missed contributions

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- A Purchase of Service Credit contract may come into effect when there is retirement eligible service time worked for which contributions were not deducted. The reason for the “missed contribution” is most likely due to system/plan sponsor error.
- As contributions are required on all retirement eligible service time, this type of Service Credit is calculated and payment is mandatory.
- The missed contributions and interest are calculated and a letter is sent to the member requesting payment. If payment is not received within the specified time, the member will not get credit for the time as service credit.


### 3.4.8 Confirmation of Eligibility

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FCERA staff members must confirm that any member submitting a request to Purchase Service Credit for one of the types of permissive service credits is in fact eligible to do so. The requirements that must be met in order to be eligible vary according to the type of service being purchased.

## 4 Reports and forms

- Letter to member with options
- Election to purchase form
- Request for Service Credit
- Coloring sheet
- Memo to Plan Sponsor

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## 5 Analysis and Recommendation

In order to complete service purchase calculations, FCERA staff research and manually calculate service credit even though the cost is calculated in PENSIONS. If payroll deduction is selected, staff manually creates the amortization plan using a coloring sheet. Staff relies heavily on Excel worksheets for creating service contracts.


Having all the data in one system in the new PAS will eliminate data entry errors and streamline the process. System generated letters, contracts and amortization schedule along with workflow processes and EDMS integration will greatly improve the process.

## 6 Requirements


ReqID	Process	Requirement Detail	Priority
304.001	Purchase of Service Credit	The PAS will provide the capability to generate a purchase of service credit worksheet and service contract based on the data that exists within the system using the parameters selected by the user.	1
304.002	Purchase of Service Credit	The PAS will provide the capability to override or add previous membership information by an authorized user with appropriate security.	2
304.003	Purchase of Service Credit	<p>The PAS will provide the capability for a member to make payment for service credit purchase by selecting one of the following options:</p> <ul style="list-style-type: none"> <li>Lump Sum Payment – This payment option is accepted using post-tax dollars but can also be accepted using pre-tax dollars via direct rollover (see third option below). Payments are usually submitted as cash or check.</li> <li>Payroll Deductions – This payment option must be set up through the member's Plan Sponsor. Payments for this option are accepted using pre-tax dollars.</li> <li>Direct Rollover – This payment option only accepts pre-tax dollars from tax qualified plans such as a 401(a), 401(k), Keogh, 403(b), 457 as well as Individual Retirement Accounts (IRA). Partial or full lump sum payments can be made via rollover from any one of the tax qualified plans as specified in the FCERA resolution which requires conclusive proof that the IRA does not include any post-tax dollars.</li> <li>Combination – Member may use any of the options above.</li> </ul>	1
304.004	Purchase of Service Credit	<p>The PAS will provide the capability to define validation rules for purchase of service credit.</p> <p>In order to reduce the amount of input errors for a purchase of service credit, the new PAS must provide a validation check when the staff is entering the contract details into the system based on certain criteria for various input fields. For example:</p> <ul style="list-style-type: none"> <li>Length of Purchase of Service Credit cannot exceed the specific leave period being purchased.</li> <li>Amount of payments cannot exceed the number of payments</li> </ul>	2

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		<p>allowed for the selected Purchase of Service Credit.</p> <ul style="list-style-type: none"> <li>Whenever possible the system must pull any compensation earnable, including additional pensionable pay components, automatically from the PAS. If the data is present, the system must pull actual pay data from the historic PAS data to derive actual contribution data.</li> <li>Table to maintain contribution rates that are applicable during the date of membership. (e.g., Rate 1 % or 2%)</li> <li>Entering year and month of date of membership – pull this data and calculate the appropriate interest.</li> </ul>	
304.005	Purchase of Service Credit	The PAS will provide the capability to track service purchase contract payments.	2
304.006	Purchase of Service Credit	The PAS will provide the capability to identify service types attributed to a service purchase.	2
304.007	Purchase of Service Credit	The PAS will provide the capability to track and link payments and service with a particular service contract.	2
304.008	Purchase of Service Credit	The PAS will provide the capability to validate that the new service purchase contract number is not identical to one that is already in the system when modifying a contract.	2
304.009	Purchase of Service Credit	The PAS will provide the capability to prompt the user to provide a reason for the service purchase change as a failsafe point to ensure the change is desired.	2
304.010	Purchase of Service Credit	<p>The PAS will provide the capability to apply an interest factor to purchase of service credit.</p> <p>If the member selects a payment plan option via payroll deductions, additional interest based on the interest factor will be added to the purchase amount. This interest factor is a percentage – currently 8% - that accounts for the interest that would have been applied to the accumulated contributions.</p> <p>For example, if a member purchases time from 5 years ago then the member would have to pay the base amount plus the accumulated interest over the last 5 year period – i.e. FCERA will factor in 10 interest posting periods. However, if a member now would choose to use payroll deductions / a payment contract to pay off the Purchase of Service Credit over a pre-defined time period in the future, then FCERA would also add an interest factor (currently 8%) to the amount.</p>	1
304.011	Purchase of Service Credit	<p>The PAS will provide the capability to adjust the interest factor without the need for programming changes.</p> <p>The interest factor is currently at 8% but might have to be adjusted in the future.</p>	2
304.012	Purchase of Service Credit	<p>The PAS will provide the capability to define rules for prior County Service (service within Fresno County and Special Districts that was excluded from membership).</p> <p>All FCERA members shall be permitted to purchase time for eligible extra help/part time, pre-membership, seasonal, or temporary time under dictates of Government Code Section 31641.5. The following rules apply:</p> <ol style="list-style-type: none"> <li>Purchase of Service Credit period must be attributable to</li> </ol>	2


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		<p>County time worked while the employee was not eligible for FCERA membership.</p> <ol style="list-style-type: none"> <li>The service time to be purchased must be certified by the applicable employer system where the time was worked.</li> <li>Member must pay the contributions that would have been made to the retirement fund for the length of time being purchased, based on the contribution rate and salary at the original date of membership for that service period in FCERA, plus the interest that would have accrued on those contributions since the date of membership.</li> <li>The entry date to the system will not be altered – it remains the date that membership began, even if prior service time is purchased.</li> </ol>	
304.013	Purchase of Service Credit	The PAS will provide the capability to track periods of eligibility for FCERA membership.	2
304.014	Purchase of Service Credit	The PAS will provide the capability to define the calculation rules for all aspects of service purchase.	2
304.015	Purchase of Service Credit	The PAS will provide the capability to maintain member's original entry date regardless of prior service purchases.	2
304.016	Purchase of Service Credit	<p>The PAS will provide the capability define rules for redeposit.</p> <p>Active and Deferred members shall be allowed to redeposit previously withdrawn contributions pursuant to the dictates of Government Code Section 31652. The following rules apply:</p> <ul style="list-style-type: none"> <li>The repayment term may not exceed the length of the period of service being purchased unless approved by the Retirement Administrator. For example, if an active member is purchasing three years service credit, that member will have the option of choosing payroll deductions over three years.</li> <li>Except for Safety members (currently safety in the reciprocal system or were safety while with FCERA), member must return to work in order to redeposit unless the contributions were withdrawn prior to 1971, then redeposit can be made without returning to work.</li> <li>Member must redeposit all previously withdrawn funds.</li> <li>There is <b>no</b> posting of pro-rata service for redeposit payments, if total payment is not completed for any reason, any partial payment will be refunded.</li> <li>If terminating prior to the completion of a payment plan for a redeposit, the full amount paid will be refunded and no service credit issued. If the member elects to defer and leave funds on deposit, he or she may make a lump sum payment for the balance due.</li> <li>Member must pay all of the previously withdrawn retirement contributions plus the interest that would have accrued on those contributions had they remained on deposit since the date of withdrawal.</li> <li>Service credit will be applied to the retirement tier/classification in which it was originally accrued.</li> <li>Anyone who paid contribution between July 1, 2002 and February 13, 2007 and refunded prior to January 1, 2008</li> </ul>	2

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		will have the redeposit amount reduced due to UAAL project (overpaid contributions refunded).	
304.017	Purchase of Service Credit	The PAS will provide the capability to allow flexible repayment terms.  The repayment term for most payment plans may not exceed the length of the period of service being purchased unless approved for a longer length of time by the Retirement Administrator.	2
304.018	Purchase of Service Credit	The PAS will provide the capability to track contribution withdrawals.	2
304.019	Purchase of Service Credit	The PAS will provide the capability to post a redeposit only when fully paid.	2
304.020	Purchase of Service Credit	The PAS will provide the capability to refund partial payments of a redeposit.	2
304.021	Purchase of Service Credit	The PAS will provide the capability for the member to make a lump sum payment.	2
304.022	Purchase of Service Credit	The PAS will provide the capability to calculate accrued interest for a redeposit.	2
304.023	Purchase of Service Credit	The PAS will provide the capability to apply service credit for a redeposit to the original tier/classification the service was accrued on.	2
304.024	Purchase of Service Credit	The PAS will provide the capability to recalculate contributions made under the current plan to the old plan and generate a refund or service purchase.	2
304.025	Purchase of Service Credit	The PAS will provide the capability to track members who took out contributions between July 1, 2002 and February 13, 2007 and refunded prior to January 1, 2008.	2
304.026	Purchase of Service Credit	The PAS will provide the capability to reduce a redeposit amount by the refund, due to overpaid contributions previously refunded.	2
304.027	Purchase of Service Credit	The PAS will provide the capability to restrict redeposit amounts to service previously withdrawn.	2
304.028	Purchase of Service Credit	<p>The PAS will provide the capability to define rules for purchase of medical leave/FMLA.</p> <ul style="list-style-type: none"> <li>• Leave must be an approved medical leave or FMLA absence.</li> <li>• May purchase only up to twelve months of service per leave period.</li> <li>• Must have been an active member in the FCERA system during the leave of absence and must return to work to be eligible to purchase the service time.</li> <li>• The number of payments allowed may equal but not exceed the total service time being purchased – i.e. if the member executes a Purchase of Service Credit for a leave period of 12 months, then the payroll deductions may also not exceed more than 26 pay periods for a biweekly pay cycle or 24 pay periods for a semi-monthly pay cycle or 12 pay periods for a monthly pay cycle.</li> <li>• Medical leave of absence must be appropriately identified on the history card maintained by the plan sponsor.</li> <li>• Member must pay the contributions that would have been made to the retirement fund plus the interest that would have been accrued on those contributions from the date of</li> </ul>	2




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		<p>the leave until payment is completed.</p> <ul style="list-style-type: none"> <li>If the member is granted a salary increase during the leave period being purchased, the cost of the amount purchased is increased appropriately from the effective date of the increase.</li> </ul>	
304.029	Purchase of Service Credit	The PAS will provide the capability to track leave incidents including dates and reasons for leaves.	2
304.030	Purchase of Service Credit	The PAS will provide the capability to associate a purchase contract to a leave incident.	2
304.031	Purchase of Service Credit	The PAS will provide the capability to restrict purchase of medical leave to members in active status during the leave.	2
304.032	Purchase of Service Credit	The PAS will provide the capability to restrict purchase of medical leave to members that return to service after the leave.	2
304.033	Purchase of Service Credit	The PAS will provide the capability to restrict payment period for purchases of medical leave/FMLA to the length of the leave only up to twelve months of service per leave period. An authorized user must be able to override the default payment period.	2
304.034	Purchase of Service Credit	The PAS will provide the capability to track and record medical leaves of absence including begin and end dates associated with the incident.	2
304.035	Purchase of Service Credit	The PAS will provide the capability to track multiple medical leave/FMLA absences.	2
304.036	Purchase of Service Credit	The PAS will provide the capability to calculate contributions based on the member's contribution rate in effect during the leave.	1
304.037	Purchase of Service Credit	The PAS will provide the capability to calculate accrued interest for contributions for a purchase of medical leave/FMLA from the date of the leave until payment is completed.	1
304.038	Purchase of Service Credit	The PAS will provide the capability to apply salary increases to the calculation of contributions for a purchase of medical leave /FMLA from the effective date of the increase.	1
304.039	Purchase of Service Credit	<p>The PAS will provide the capability to define rules for public service.</p> <ul style="list-style-type: none"> <li>Service with specific public agencies may be purchased as FCERA service time. Public agency is defined as: <ol style="list-style-type: none"> <li>A Federal Agency is any department or agency of the United States government, including active military service. Need DD214 form and number of points, depending on type of military service.</li> <li>Any department or agency of the State of California, including school districts (PERS/STRS).</li> <li>Any city or county within California that has reciprocal agreement with PERS</li> </ol> </li> <li>Prior public service can only be purchased while an active member.</li> <li>The member cannot be eligible to receive a retirement benefit from the other entity for the service period being purchased.</li> <li>The member must not have re-deposited or purchased service credit with any other public agency for the service period being purchased.</li> <li>The purchase must be an equivalency of time; therefore some conversion to a monthly or bi-weekly basis may be</li> </ul>	2




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ReqID	Process	Requirement Detail	Priority
		<p>necessary.</p> <ul style="list-style-type: none"> <li>The member must pay the employee contribution at membership (based on the contribution rate and salary at the current date of membership) times two plus all applicable interest from the date of membership through the calculation date.</li> <li>Service credit will be applied to the retirement tier in which the member was placed at the time of current membership in FCERA.</li> <li>Payment plans for public service purchases are capped at five years.</li> <li>Service credit purchases are capped at four years for Plan Sponsors except for FMAAA who can purchase up to the time available for purchase.</li> <li>Time purchased does not count towards eligibility for benefits, for example, the minimum of ten years of service needed to retire, non-service connected disability, death benefit, health insurance, or vesting.</li> <li>Calculation is based on age, most recent date of membership, salary at date of membership and benefit tier and classification.</li> </ul>	
304.040	Purchase of Service Credit	The PAS will provide the capability to track member's status as prior public service leave.	2
304.041	Purchase of Service Credit	The PAS will provide the capability generate warning to staff if member would not be eligible to purchase service credit. For example when calculating time for educational LOA.	2
304.042	Purchase of Service Credit	The PAS will provide the capability to define eligible service agencies in the system.	2
304.043	Purchase of Service Credit	The PAS will provide the capability to generate a report to ensure that service purchase amounts can be double-checked and recovered if necessary.	2
304.044	Purchase of Service Credit	The PAS will provide the capability to generate a report showing all open Military Leaves.	2
304.045	Purchase of Service Credit	The PAS will provide the capability to record a member's service at eligible agencies.	2
304.046	Purchase of Service Credit	The PAS will provide the capability to record whether a member is receiving benefits from another agency.	2
304.047	Purchase of Service Credit	The PAS will provide the capability to create and edit a letter to the reciprocal agency if a member is receiving benefits from another agency.	2
304.048	Purchase of Service Credit	The PAS will provide the capability to record whether a member is eligible to redeposit or purchase time with any other public/reciprocal agency.	2
304.049	Purchase of Service Credit	The PAS will provide the capability to convert service from eligible agencies to monthly or bi-weekly basis.	2
304.050	Purchase of Service Credit	The PAS will provide the capability to calculate contributions times two, for purchase of public service, as the contribution rate and compensation at the original date of membership.	2
304.051	Purchase of Service Credit	The PAS will provide the capability to calculate interest for purchase of public service.	2
304.052	Purchase of Service Credit	The PAS will provide the capability to apply service credit for purchase of public service to the member's retirement tier at the	1

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ReqID	Process	Requirement Detail	Priority
		time of entry into membership at FCERA.	
304.053	Purchase of Service Credit	The PAS will provide the capability to purchase military leave of absences during active periods of membership.	2
304.054	Purchase of Service Credit	The PAS will provide the capability to exclude public service purchases from benefit eligibility calculations.	2
304.055	Purchase of Service Credit	The PAS will provide the capability to post final amounts and service credit in case of an early pay-off for post-tax purchases.	2
304.056	Purchase of Service Credit	The PAS will provide the capability to accommodate for installment payments on service credit purchases.	2
304.057	Purchase of Service Credit	The PAS will provide the capability to define payment plans.  This includes the payment amounts, number of payments, interest factor and projected interest for any semi-annual interest posting periods.	1
304.058	Purchase of Service Credit	The PAS will provide the capability to create amortization schedules if payroll deduction is selected.	2
304.059	Purchase of Service Credit	The PAS will provide the capability to suspend service purchase payments.  If a member takes an approved leave without pay, purchase of service payments (pre-tax or post-tax) will be placed on hold automatically until the member returns to work and is once again on payroll.	2
304.060	Purchase of Service Credit	The PAS will provide the capability to generate a warning and a report if member returns from a leave, to let staff know that there are outstanding payroll deductions.	2
304.061	Purchase of Service Credit	The PAS will provide the capability to restrict revocation of pre-tax service purchase payment plans.  Pre-tax payment plans are irrevocable and cannot be changed or pre-paid, except in the event of termination, retirement, or death.	2
304.062	Purchase of Service Credit	The PAS will provide the capability to purchase service incrementally except for redeposits. <ul style="list-style-type: none"> <li>The member must buy back the most recent time or latest in time as required by law for prior service (service excluded from membership), i.e. extra help time.</li> <li>Redeposits cannot be purchased incrementally, and must be made on a single contract (i.e. you can buy partial credit for other contracts and continue to do so, re-deposit can only be done as one contract).</li> </ul>	2
304.063	Purchase of Service Credit	The PAS will provide the capability for deferred members to make lump sum service purchase payments.	2
304.064	Purchase of Service Credit	The PAS will provide the capability for multiple service purchase payment plans via payroll deductions.	2
304.065	Purchase of Service Credit	The PAS will provide the capability to record and maintain records of service purchase agreements in the member record, including, but not limited to the following information: <ul style="list-style-type: none"> <li>Service purchase government code section</li> <li>Number sequence for the purchase (if there's more than one and the order in which the member must purchase)</li> </ul>	2

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ReqID	Process	Requirement Detail	Priority
		<ul style="list-style-type: none"> <li>• Service purchase type</li> <li>• Tier / Plan for service purchase</li> <li>• Staff Id of the person who processed the respective service purchase</li> <li>• Service Period purchased</li> <li>• Effective date</li> <li>• Status [Active, Paid, Cancelled]</li> <li>• Status date</li> <li>• Payment option (lump sum/installments/pretax/post tax)</li> <li>• Total Service / Purchased</li> <li>• Total contributions due</li> <li>• Contributions to date (broken down into Regular / COLA/settlement/ settlement COLA)</li> <li>• Total interest due by contribution type</li> <li>• Total purchase cost</li> <li>• Total payment received pre-tax</li> <li>• Total payment received post-tax</li> <li>• Balance due</li> <li>• Balance due effective date</li> </ul>	
304.066	Purchase of Service Credit	The PAS will provide the capability to maintain eligibility parameters and business rules for calculating each type of service purchase without the need for programming changes.	2
304.067	Purchase of Service Credit	The PAS will provide the capability to determine a member's eligibility to purchase service time by comparing the member's record against the eligibility parameters for the type of service purchase selected.	2
304.068	Purchase of Service Credit	The PAS will provide the capability to record and maintain a table of retrospective and prospective interest factors to be used in the calculation of service purchase costs.	2
304.069	Purchase of Service Credit	The PAS will provide the capability to record and maintain history of payment plan details and interest rate.	2
304.070	Purchase of Service Credit	<p>The PAS will provide the capability to base service calculations on the service time equivalency selected by the user.</p> <p>Options to include, but not be limited to:</p> <ul style="list-style-type: none"> <li>• Hours</li> <li>• Months to five decimals</li> <li>• Years to five decimals</li> </ul>	2
304.071	Purchase of Service Credit	The PAS will provide the capability to accurately calculate a purchase of service that includes time split between multiple plans, contribution rates and service time.	2
304.072	Purchase of Service Credit	The PAS will provide the capability to credit full service amount purchased at the end of the contract, without rounding issues resulting in fractional differences as payment is made.	2
304.073	Purchase of Service Credit	The PAS will provide the capability to post service purchase payments that are transmitted with payroll contributions by the plan sponsors for the applicable payroll period.	2
304.074	Purchase of Service Credit	The PAS will provide the capability to manually post service purchase payments to member records.	2
304.075	Purchase of Service Credit	The PAS will provide the capability to record the payment option selected by the member.	2

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ReqID	Process	Requirement Detail	Priority
304.076	Purchase of Service Credit	The PAS will provide the capability to track the tax status (pre-tax or post-tax) of all service purchase payments.	2
304.077	Purchase of Service Credit	The PAS will provide the capability to generate reimbursement of overpayment on a service purchase contract, or in the event of cancellation of a service purchase contract and amount of service purchased if applicable.	2
304.078	Purchase of Service Credit	The PAS will provide the capability to calculate early payoff of a post-tax service purchase contract, by adjusting the interest factor and recalculating the amount due.	2
304.079	Purchase of Service Credit	The PAS will provide the capability to recalculate an existing payment contract with new parameters.	2
304.080	Purchase of Service Credit	The PAS will provide the capability to overwrite payment amounts, or the number of payment installments on service purchase worksheets.	2
304.081	Purchase of Service Credit	The PAS will provide the capability to maintain and credit multiple service purchase contracts concurrently.	2
304.082	Purchase of Service Credit	<p>The PAS will provide the capability to view and print service purchase reports, including:</p> <ul style="list-style-type: none"> <li>Detailed report for an individual member.</li> <li>Detailed report of all Active (outstanding) service purchase agreements.</li> <li>Detailed report of members with a remaining balance due after the allowable number of payments that have been posted.</li> </ul>	2
304.083	Purchase of Service Credit	The PAS will provide the capability to credit all service purchase payments to the member, if the member retires or terminates prior to completing the purchase of service credit.	2
304.084	Purchase of Service Credit	The PAS will provide the capability for the member to keep what is paid for if the member retires or terminates prior to completing the purchase of service credit, and pay off the rest of the contract in lump sum payments.	2
304.085	Purchase of Service Credit	<p>The PAS will provide the capability for beneficiaries to pay off service purchases.</p> <p>In the event of an active member's death, the beneficiary is given the opportunity to pay off any service purchase agreements active at the time of death if the beneficiary is eligible to receive a continuing benefit.</p>	2
304.086	Purchase of Service Credit	<p>The PAS will provide the capability to cancel post-tax payment plans for non-Redeposit service purchases.</p> <p>At termination of employment the member has the following options related to outstanding balances on installment purchases:</p> <ul style="list-style-type: none"> <li>Payment and service time is amortized and member receives credit up until that point.</li> <li>Pay off any remaining time not purchased in a lump sum (payoff amount must be calculated to remove interest factor).</li> </ul>	2
304.087	Purchase of Service Credit	The PAS will provide the capability to define rules for purchase of missed contributions due to a payroll error.	2

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ReqID	Process	Requirement Detail	Priority
		<ul style="list-style-type: none"> <li>A Purchase of Service Credit contract may come into effect when there is retirement eligible service time worked for which contributions were not deducted. The reason for the "missed contribution" is most likely due to system/plan sponsor error.</li> <li>As contributions are required on all retirement eligible service time, this type of Service Credit is calculated and payment is mandatory.</li> </ul>	
304.088	Purchase of Service Credit	The PAS will provide the capability to refer to refund history in a member's record in order to compute the amount of service time available, and the associated cost of a redeposit purchase.	2
304.089	Purchase of Service Credit	The PAS will provide the capability to compute member's future retirement benefit attributable to the time purchased, and to display the result on screen, and on a service purchase worksheet.	2
304.090	Purchase of Service Credit	The PAS will provide the capability for the service purchase calculator to issue a service purchase worksheet. The worksheet will display all critical calculations and payment plan amounts.	2
304.091	Purchase of Service Credit	The PAS will provide the capability to overwrite payment amounts, or the number of payment installments on service purchase worksheets.	2
304.092	Purchase of Service Credit	The PAS will provide the capability to manually post service time to member records.	2
304.093	Purchase of Service Credit	The PAS will provide the capability to record and maintain financial institution data if the member selects rollover or transfer as the payment option.	2
304.094	Purchase of Service Credit	The PAS will provide the capability to maintain a history of all service purchase occurrences in a members' record.	2
304.095	Purchase of Service Credit	The PAS will provide the capability to issue a service purchase contract, specific to individual and type of purchase, based on the results generated in a service purchase worksheet.	2
304.096	Purchase of Service Credit	The PAS will provide the capability to adjust an existing service contract in the event that the original set-up terms were entered incorrectly.	2
304.097	Purchase of Service Credit	<p>The PAS will provide the capability to generate a service contract and letter to the member detailing options for purchase of service including but not limited to:</p> <ul style="list-style-type: none"> <li>Plan/tier</li> <li>Length of service purchased</li> <li>Dates of service purchased</li> <li>Options to pay</li> <li>Total cost for each option</li> </ul>	2
304.098	Purchase of Service Credit	The PAS will provide the capability to edit the service contract and letter to member prior to sending to member.	2
304.099	Purchase of Service Credit	The PAS will provide the capability to generate a denial letter if the member is not eligible to make the requested purchase of service.	2
304.100	Purchase of Service Credit	The PAS will provide the capability to edit the denial letter prior to sending to member.	2
304.101	Purchase of Service Credit	The PAS will provide the capability to provide a service purchase calculator that will compute a service purchase estimate, based on the member record and specific data entered by the user.	2

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-304
	Project: PENSION ADMINISTRATION SYSTEM	
	Purchase of Service Credit	

ReqID	Process	Requirement Detail	Priority
		<p>If purchase type is Public Service, the formula is:</p> <p><b>Most recent system entry date monthly compensation x contribution rates applicable at that date of membership x service to be purchased x 2 + interest from that date of membership = total cost of public service</b></p>	
304.102	Purchase of Service Credit	<p>The PAS will provide the capability to provide the user with a service purchase calculator that will compute a service purchase estimate, based on the member record and specific data entered by the user.</p> <p>If purchase type is prior service, formula is:</p> <p><b>Contributions (regular, COL, supplemental basic, supplemental COL and interest refunded) + Interest from the date of withdrawal</b></p>	2
304.103	Purchase of Service Credit	The PAS will provide the capability to calculate interest on prior service and public service from the entry point into the system immediately succeeding the prior service, to the interest period closest to the point of the Purchase of Service Credit. If there is a redeposit to be purchased, the calculation will use the age and membership data associated with the refunded period.	2
304.104	Purchase of Service Credit	The PAS will provide the capability to calculate interest on redeposit from the point of original refund until the interest period in which the redeposit is calculated.	2
304.105	Purchase of Service Credit	The PAS will provide the capability to calculate interest on medical and active military leaves of absences without pay is calculated from the closest 1/1 or 7/1 date following the leave of absence period to the current interest apportionment period at time of calculation (6/30 or 12/31).	2
304.106	Purchase of Service Credit	The PAS will provide the capability to track and alert staff if request for prior public service is not within 90 days of current membership.	2

## 7 Appendix - Sample Calculations



**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION****Project: PENSION ADMINISTRATION SYSTEM****Purchase of Service Credit**

FCERA-PAS-REQ-304

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION**Termination - CALCULATION SUMMARY  
Estimate - using New Highest Average Pay Definition*Prior Public Service  
Calculation and  
payment screen*

<b>Member</b>		Retirement Entry Date:	7/31/1995
SSN:		Date of Termination or Death:	11/19/2010
Marital Status	Single	Benefit Commencement Date:	12/31/2010
Date of Birth:	8/29/1965	Age at Benefit Commencement:	45 yrs, 4 mos
Membership:	General Tier I	Dept. No. & Division:	2880
1 yr High Avg Pay:	\$0.00	Dept Name:	Pub Defndr
3 yr High Avg Pay:	\$0.00		
Soc Sec at age 62		Category	County
Soc Sec Est Date		Category Status	Active

<b>Beneficiaries</b>	SSN	Relationship	Date of Birth
		Other	02/21/1969

<b>Contributions</b>	<u>Taxed</u>	<u>Taxable</u>	<u>Interest</u>	<u>Total</u>
Basic	\$0.00	\$38,807.61	\$7,661.98	\$46,469.59
COL	0.00	14,073.33	949.73	15,023.06
Supplemental Basic	0.00	11,099.80	829.53	11,929.33
Supplemental COL	0.00	4,779.89	289.75	5,069.64
Total	\$0.00	\$68,760.63	\$9,730.99	\$78,491.62
Projection in Above Total	0.00	0.00		

<b>Service</b>		Start	Stop	Benefit	LumpSum	Installment
<b>Purchase</b>	Membership	Date	Date	Service	Cost	Cost
Prior Public	General	07/18/1988	10/17/1989	1.2400	\$7,139.09	\$285.06

<b>Service</b>			Prior	Annual	General	Safety		Prior	General	Safety
	<u>General</u>	<u>Safety</u>	County	Leave	County	County		Public	Benefit	Benefit
			<u>Service</u>	<u>Service</u>	<u>Service</u>	<u>Service</u>		<u>Service</u>	<u>Service</u>	<u>Service</u>
Tier I Integrtd	15.3028		0.5139		15.8167	0.0000		1.2400	17.0567	0.0000
Tier I Non-Int					0.0000	0.0000			0.0000	0.0000
Tier II Integrtd					0.0000	0.0000			0.0000	0.0000
Tier II Non-Int					0.0000	0.0000			0.0000	0.0000
Tier III Integrtd					0.0000				0.0000	
Tier III Non-Int					0.0000				0	
Total	15.3028	0.0000	0.5139	0.0000	15.8167	0.0000		1.2400	17.0567	0.0000

<b>Monthly Benefits</b>	<u>Annuity</u>	<u>Current Service</u>	<u>Supplemental</u>	<u>Total Employee</u>	<u>Continuance to</u>
		<u>Pension</u>	<u>Allowance</u>	<u>Allowance</u>	<u>Beneficiary</u>
Unmodified	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

THE AMOUNTS INDICATED ABOVE WILL BE SUBJECT TO REVIEW AND VERIFICATION WHEN YOUR APPLICATION FOR RETIREMENT IS FILED. THE CONTRIBUTION BALANCES ARE PROJECTED TO THE DATE OF RETIREMENT AND MAY NOT REPRESENT YOUR CURRENT BALANCES.

Prepared By:  
Prepared On:

CalcSummary4



## FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION

Project: PENSION ADMINISTRATION SYSTEM

Purchase of Service Credit

FCERA-PAS-REQ-304

## Calc Audit Trail

## Benefit Calculation

SSN:

Employee No.:

PENSIONS No.:

Category

County

Category Status

Active

Estimated Term Date

11/19/2010

Elected Retirement Date

12/31/2010

Monthly Soc Sec Ben

\$0.00

Pay Definition

New (Highest Consecutive Biweeks + 26 1/14 Biweeks)

Final or Estimate

Estimate

Use Annual Leave

No

Project Ctb to Term

Yes

Calculation Requested

Buyback / Redeposit

Version

Version 2010.01

SQL Server / Database:

Retirement2 / Production

Calculator Start Time: 12/9/2010 10:01:56 AM

Date of Term:

11/19/2010

Benefit Commencement Date:

12/31/2010

*interest crediting period*

## Service records

01/17/1995, extra help, purchased, Gen, Int, XTR, Paid

07/17/1995, new hire, purchased, Gen, Int, NHR, Paid

07/31/1995, active, Gen, Int, U31, Full Time 100%

## Service Periods

Period 1, Entry date 7/31/1995, Term date 11/19/2010, Entry Age 30

07/18/1988, PPS, Gen, Int, End Date 10/17/1989, Svc Years 1.240, Entry Age 30, is being purchased

Agency Name:

Service within each Period yrs mos dys

Period 1, Prior County, 01/17/95 to 07/16/95: 100.00% pd, svc 0.4833

Period 1, Prior County, 07/17/95 to 07/30/95: 100.00% pd, svc 0.0306

Service 07/31/1995 to 11/19/2010: 15 3 19 svc 15.3028

Purchase of Prior Public Service, as of 07/18/1988

Ctb[Und Ovr]: Bas 2.09% 3.14%, COL 0.00% 0.00%, SBas 0.00% 0.00%, SCOL 0.00% 0.00% with General Unisex age 30, as of 07/31/95

Biweekly ctb 01/17/95 1995-03 Bas \$36.27 COL \$0.00

Gen, Age 30, Class , Pay \$1,209.00, Intgrtd Offset \$162, Work 100.00%

Rates [Und Ovr]: Bas 2.09% 3.14%, COL 0.00% 0.00%

Cumulative interest from 01/01/1996 to 12/31/2010: 2.8835

Int 4.1250% for 5 mos from 07/31/1995 to 12/31/1995: 1.0343

Total cumulative int from 07/31/1995 to 12/31/2010: 2.9823

PayRate Blwk.Ctb Biweeks LS Cost Int Proj LS Cost w'Int

Basic 1,209.00 36.27 \* 2 \* 33 = \$2,393.82 \* 2.9823 = \$7,139.09

COL 1,209.00 0.00 \* 2 \* 33 = \$0.00 \* 2.9823 = \$0.00

SupBasic 1,209.00 0.00 \* 2 \* 33 = \$0.00 \* 2.9823 = \$0.00

SupCOL 1,209.00 0.00 \* 2 \* 33 = \$0.00 \* 2.9823 = \$0.00

Total Cost: \$7,139.09

*double cost + int*

PPS 07/18/88 to 10/17/89

1.2400

Additional Service due to Annual Leave was not processed

## Total Service in Each Service Period

Service Period 1 from 7/31/1995 to 11/19/2010 Total Intgrtd  
General Service 17.0567 17.0567

Total Service Total General

Benefit Service: 17.0567 17.0567

Ben Svc Integrated with Soc Sec: 17.0567

Eligibility Service: 15.8167

Continuous Svc to Ctb Stop(30 Yrs): 15.3028

Prior County Service: 0.5139

Prior Public Service: 1.2400

Prior Public Service (100% paid): 0.0000

Employee's Benefit Commencement Age: 45 years and 4 months

Beneficiary 1 Other: 41 years and 9 months


Date First Eligible for Retirement: 8/29/2015

FCERA Calculation Audit Trail

Page 1 of 2

Printed by kim on Thu Dec 9, 2010 10:02 am



	<b>FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION</b>	<b>FCERA-PAS-REQ-304</b>
	<b>Project: PENSION ADMINISTRATION SYSTEM</b>	
	<b>Purchase of Service Credit</b>	

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION  
ELECTION TO PURCHASE SERVICE CREDIT**

I hereby elect, in accordance with Section 31641.1, to pay additional contributions and receive General Tier I service credit of 1 year, 2 months, 26 days for the period of July 18, 1988 to October 17, 1989 by the following method of payment:

- ☐ Transfer of taxable contributions from eligible plan  
due before January 1, 2011 \$7,139.09
- ☐ Lump Sum Payment due before January 1, 2011 \$7,139.09
- ☐ Payroll deduction for 26 Pay Periods (1 year) \$285.06  
Due: December 9, 2010

Lump Sum Payment must accompany election form.  
Deductions will start on the pay period following the receipt of this form.

I hereby authorize and understand that this agreement is **BINDING AND IRREVOCABLE** and obligates me to **PAY IN FULL** the cost of the service credit purchased. The payroll deduction **MAY NOT BE CANCELED OR CHANGED** and will remain in effect until I complete the service credit purchase or terminate my employment.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Prepared by:  
Date: December 9, 2010

December 9, 2010  
Run Date

Page 1



## FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION

Project: PENSION ADMINISTRATION SYSTEM

Purchase of Service Credit

FCERA-PAS-REQ-304

## FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION

Termination - CALCULATION SUMMARY

Estimate - using New Highest Average Pay Definition

Prior service  
extra help  
new hire  
not purchase

<b>Member</b>		Retirement Entry Date:	8/9/2010
SSN:		Date of Termination or Death:	11/19/2010
Marital Status		Benefit Commencement Date:	12/31/2010
Date of Birth:	9/14/1971	Age at Benefit Commencement:	39 yrs, 4 mos
Membership:	General Tier I	Dept. No. & Division:	28110012
1 yr High Avg Pay:	\$0.00	Dept Name:	Fam Spt Ct
3 yr High Avg Pay:	\$0.00		
Soc Sec at age 62		Category	County
Soc Sec Est Date		Category Status	Active

<b>Beneficiaries</b>	SSN	Relationship	Date of Birth
		Other	06/07/1992

<b>Contributions</b>	<u>Taxed</u>	<u>Taxable</u>	<u>Interest</u>	<u>Total</u>
Basic	\$0.00	\$278.32	\$0.00	\$278.32
COL	0.00	175.32	0.00	175.32
Supplemental Basic	0.00	127.10	0.00	127.10
Supplemental COL	0.00	55.62	0.00	55.62
Total	\$0.00	\$636.36	\$0.00	\$636.36
Projection in Above Total	0.00	0.00		

<b>Service</b>	<b>Membership</b>	<b>Start Date</b>	<b>Stop Date</b>	<b>Benefit Service</b>	<b>LumpSum Cost</b>	<b>Installment Cost</b>
<b>Purchase</b>						
Prior County	General	10/19/2009	07/25/2010	0.7000	\$1,448.34	\$57.82
Prior County	General	07/26/2010	08/08/2010	0.0389	\$80.91	\$3.23

<b>Service</b>	<u>General</u>	<u>Safety</u>	<u>Prior County Service</u>	<u>Annual Leave Service</u>	<u>General County Service</u>	<u>Safety County Service</u>	<u>Prior Public Service</u>	<u>General Benefit Service</u>	<u>Safety Benefit Service</u>
Tier I Integrtd	0.2806		0.7389		1.0195	0.0000		1.0195	0.0000
Tier I Non-Int					0.0000	0.0000		0.0000	0.0000
Tier II Integrtd					0.0000	0.0000		0.0000	0.0000
Tier II Non-Int					0.0000	0.0000		0.0000	0.0000
Tier III Integrtd					0.0000			0.0000	
Tier III Non-Int					0.0000			0	
Total	0.2806	0.0000	0.7389	0.0000	1.0195	0.0000	0.0000	1.0195	0.0000

<b>Monthly Benefits</b>	<u>Annuity</u>	<u>Current Service Pension</u>	<u>Supplemental Allowance</u>	<u>Total Employee Allowance</u>	<u>Continuance to Beneficiary</u>
Unmodified	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

THE AMOUNTS INDICATED ABOVE WILL BE SUBJECT TO REVIEW AND VERIFICATION WHEN YOUR APPLICATION FOR RETIREMENT IS FILED. THE CONTRIBUTION BALANCES ARE PROJECTED TO THE DATE OF RETIREMENT AND MAY NOT REPRESENT YOUR CURRENT BALANCES.

Prepared By:

Prepared On:

Version 2010.01

CalcSummary4



## FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION

## Project: PENSION ADMINISTRATION SYSTEM

## Purchase of Service Credit

FCERA-PAS-REQ-304

## Calc Audit Trail

## Benefit Calculation

## SSN:

Employee No.:

PENSIONS No.:

Category

Category Status

Estimated Term Date

Elected Retirement Date

Monthly Soc Sec Ben

Pay Definition

Final or Estimate

Use Annual Leave

Project Ctb to Term

Calculation Requested

Version

SQL Server / Database:

Calculator Start Time:

52374

County

Active

11/19/2010

12/31/2010

\$0.00

New (Highest Consecutive Biweeks + 26 1/14 Biweeks)

Estimate

No

Yes

Buyback / Redeposit

Version 2010.01

Retirement2 / Production

12/9/2010 9:29:24 AM

Beneficiary ( 1 )

ciary

Date of Birth - Employee:

09/14/1971

Date of Birth - Other Beneficiary:

06/07/1992

Date of Entry:

08/09/2010

Date of Term:

11/19/2010

Benefit Commencement Date:

12/31/2010

*interest crediting period*

## Service records

10/19/2009, extra help, to be purchased, Gen, Int, XTR

07/26/2010, new hire, to be purchased, Gen, Int, NHR

08/09/2010, active, Gen, Int, U06, Full Time 100%

## Service Periods

Period 1, Entry date 8/9/2010, Term date 11/19/2010, Entry Age 39

Service within each Period yrs mos dys

Purchase of Extra Help service, from 10/19/09 2009-23 to 07/25/10 2010-16

Cumulative interest from 01/01/2011 to 12/31/2010: 1.0000

Int 4.0000% for 5 mos from 08/09/2010 to 12/31/2010: 1.0332

Total cumulative int from 08/09/2010 to 12/31/2010: 1.0332

Ctb 08/09/10 Gen Age 39 Class XTR Intgrtd

Rates [Und Ovr]: Bas 2.54% 3.81%, COL 1.60% 2.40%, SBas 1.16% 1.74%, SCOL 0.51% 0.76%

Pay Freq and Offset: B=Biweekly \$162, S=Semimonthly \$175, M=Monthly \$350

Extra Help	Rate	Hrs	work	work days	Basic	COL	SBas	SCOL	Fac	Basic	COL	SupBas	SupCOL
10/19-11/01/09	953.00B	80.00	100.00%	14	34.25	21.57	15.64	6.84	1.0332	35.39	22.29	16.16	7.07
11/02-11/15/09	953.00B	72.00	90.00%	13	30.62	19.29	13.99	6.12	1.0332	67.03	42.22	30.61	13.39
11/16-11/29/09	953.00B	64.00	80.00%	11	26.99	17.00	12.33	5.39	1.0332	94.92	59.78	43.35	18.96
11/30-12/13/09	953.00B	80.00	100.00%	14	34.25	21.57	15.64	6.84	1.0332	130.31	82.07	59.51	26.03
12/14-12/27/09	953.00B	72.00	90.00%	13	30.62	19.29	13.99	6.12	1.0332	161.95	102.00	73.96	32.35
12/28-01/10/10	953.00B	72.00	90.00%	13	30.62	19.29	13.99	6.12	1.0332	193.59	121.93	88.41	38.67
01/11-01/24/10	953.00B	72.00	90.00%	13	30.62	19.29	13.99	6.12	1.0332	225.23	141.86	102.86	44.99
01/25-02/07/10	953.00B	80.00	100.00%	14	34.25	21.57	15.64	6.84	1.0332	260.62	164.15	119.02	52.06
02/08-02/21/10	953.00B	59.50	74.38%	10	24.94	15.71	11.39	4.99	1.0332	286.39	180.38	130.79	57.22
02/22-03/07/10	953.00B	80.00	100.00%	14	34.25	21.57	15.64	6.84	1.0332	321.78	202.67	146.95	64.29
03/08-03/21/10	953.00B	72.00	90.00%	13	30.62	19.29	13.99	6.12	1.0332	353.42	222.60	161.40	70.61
03/22-04/04/10	953.00B	72.00	90.00%	13	30.62	19.29	13.99	6.12	1.0332	385.06	242.53	175.85	76.93
04/05-04/18/10	953.00B	76.50	95.63%	13	32.66	20.57	14.92	6.52	1.0332	418.80	263.78	191.27	83.67
04/19-05/02/10	953.00B	72.00	90.00%	13	30.62	19.29	13.99	6.12	1.0332	450.44	283.71	205.72	89.99
05/03-05/16/10	953.00B	78.00	97.50%	14	33.34	21.00	15.23	6.66	1.0332	484.89	305.41	221.46	96.87
05/17-05/30/10	953.00B	72.00	90.00%	13	30.62	19.29	13.99	6.12	1.0332	516.53	325.34	235.91	103.19
05/31-06/13/10	953.00B	58.00	72.50%	10	24.26	15.28	11.08	4.85	1.0332	541.60	341.13	247.36	108.20
06/14-06/27/10	953.00B	72.00	90.00%	13	30.62	19.29	13.99	6.12	1.0332	573.24	361.06	261.81	114.52
06/28-07/11/10	953.00B	72.00	90.00%	13	30.62	19.29	13.99	6.12	1.0332	604.88	380.99	276.26	120.84
07/12-07/25/10	953.00B	65.50	81.88%	11	27.67	17.43	12.64	5.53	1.0332	633.47	399.00	289.32	126.55
										Total Cost: \$1,448.34			

10/19/2009 to 07/25/2010: 0 8 12 svc 0.7000

Purchase of New Hire service, from 07/26/10 2010-17 to 08/08/10 2010-17

Cumulative interest from 01/01/2011 to 12/31/2010: 1.0000

Int 4.0000% for 5 mos from 08/09/2010 to 12/31/2010: 1.0332

Total cumulative int from 08/09/2010 to 12/31/2010: 1.0332

Ctb 08/09/10 Gen Age 39 Class NHR Intgrtd

Rates [Und Ovr]: Bas 2.54% 3.81%, COL 1.60% 2.40%, SBas 1.16% 1.74%, SCOL 0.51% 0.76%

Pay Freq and Offset: B=Biweekly \$162, S=Semimonthly \$175, M=Monthly \$350

New Hire	Rate	Hrs	work	work days	Basic	COL	SBas	SCOL	Fac	Basic	COL	SupBas	SupCOL
07/26-08/08/10	953.00B	80.00	100.00%	14	34.25	21.57	15.64	6.84	1.0332	35.39	22.29	16.16	7.07
										Total Cost: \$80.91			


07/26/2010 to 08/08/2010: 0 0 14 svc 0.0389

Service 08/09/2010 to 11/19/2010: 0 3 11 svc 0.2806

FCERA Calculation Audit Trail

Page 1 of 2

Printed by kim on Thu Dec 9, 2010 9:29 am

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-304
	Project: PENSION ADMINISTRATION SYSTEM	
	Purchase of Service Credit	

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION  
ELECTION TO PURCHASE SERVICE CREDIT**

I hereby elect, in accordance with Section 31641.5, to pay additional contributions and receive General Tier I service credit of 0 years, 8 months, 12 days for the period of October 19, 2009 to July 25, 2010 by the following method of payment:

- ☐ Transfer of taxable contributions from eligible plan  
due before January 1, 2011 \$1,448.34
- ☐ Lump Sum Payment due before January 1, 2011 \$1,448.34
- ☐ Payroll deduction for 26 Pay Periods (1 year) \$57.82  
Due: December 9, 2010

Lump Sum Payment must accompany election form.  
Deductions will start on the pay period following the receipt of this form.

I hereby authorize and understand that this agreement is BINDING AND IRREVOCABLE and obligates me to PAY IN FULL the cost of the service credit purchased. The payroll deduction MAY NOT BE CANCELED OR CHANGED and will remain in effect until I complete the service credit purchase or terminate my employment.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Prepared by  
Date: Decer

December 9, 2010  
Run Date

Page 1

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION****Project: PENSION ADMINISTRATION SYSTEM****Purchase of Service Credit**

FCERA-PAS-REQ-304

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION****ELECTION TO PURCHASE SERVICE CREDIT**

I hereby elect, in accordance with Section 31641.5, to pay additional contributions and receive General Tier I service credit of 0 years, 0 months, 14 days for the period of July 26, 2010 to August 8, 2010 by the following method of payment:

- |                          |   |         |
|--------------------------|---|---------|
| <input type="checkbox"/> | Transfer of taxable contributions from eligible plan due before January 1, 2011 | \$80.91 |
| <input type="checkbox"/> | Lump Sum Payment due before January 1, 2011                                     | \$80.91 |
| <input type="checkbox"/> | Payroll deduction for 26 Pay Periods (1 year)<br>Due: December 9, 2010          | \$3.23  |

Lump Sum Payment must accompany election form.  
Deductions will start on the pay period following the receipt of this form.


I hereby authorize and understand that this agreement is BINDING AND IRREVOCABLE and obligates me to PAY IN FULL the cost of the service credit purchased. The payroll deduction MAY NOT BE CANCELED OR CHANGED and will remain in effect until I complete the service credit purchase or terminate my employment.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Prepared by:  
Date: December 9, 2010

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## 4.4.305 Reciprocity Processing

### 1 Overview

FCERA has reciprocal relationship with the other 19 county retirement systems in California that are governed by the County Employees Retirement Law of 1937. FCERA also has reciprocity with the Public Employees' Retirement System (PERS) which covers employees of the State of California, other counties, cities, and Special Districts in California, and with additional public retirement systems by virtue of their reciprocal agreements with PERS, the Judges Retirement System and the State Teachers Retirement System (STRS).

An intersystem member is a member who has both FCERA membership and membership with a reciprocal retirement system, and must establish reciprocity within six months of membership. The other system may be another 1937 Act retirement system, CalPERS, or another public agency. Intersystem membership is either incoming (transfers in) or outgoing (transfers out).


Outgoing Intersystem Membership requires a change in the member's status to one that indicates deferred retirement with reciprocity.

The rules and benefits governing this process are defined by the 1937 Act, and therefore common to all '37 Act counties.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	Staff member who facilitates the incoming and outgoing Intersystem Membership process. Also responsible for making changes to the member's account in PENSIONS.
Incoming Members	Members who have been employed by another retirement system and are eligible to establish reciprocity at FCERA.
Outgoing Members	Members who are terminating employment with the County of Fresno or with another plan sponsor for employment with a reciprocal employer where they plan to establish reciprocity.
Reciprocal agency	Public agency where reciprocity exists with FCERA.



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### 3 Terms & Definitions

Term	Definition
Reciprocity	Relationship that exists between certain public employers, designed to protect the earned retirement benefits when a member transfers from one public employer to another.
Inter-System Membership Advice form (ISMA)	This form is used by FCERA and most '37 Act counties to help establish reciprocity for members
CalPERS	California Public Employees Retirement System

### 4 Process Overview


#### 4.1 Process Scope

At FCERA the primary roles that fall within the scope of Reciprocity Processing are divided into two categories, which are as follows:

- Incoming Membership** – FCERA allows new members coming in from other retirement systems with which FCERA has a reciprocal agreement to establish the appropriate age at entry and service credits in the system. Establishing the appropriate age at entry in the system does lower the contribution rate that the member is required to pay FCERA. Information to establish reciprocity for incoming members is requested by FCERA. The onus is on the member to provide the request to FCERA when they join FCERA. However, in order to establish incoming Reciprocity, FCERA has to compare the date the member left the reciprocal system to the date the member entered FCERA to verify that no more than six months have passed, this is due to the fact that reciprocity with another system can only be established if the employee joins a reciprocal agency within six months of terminating his/her job with the previous system. FCERA also verifies that the member does not have concurrent service as service credit in two systems for the same period of time is not allowed. FCERA is able to modify the date of membership for a limited amount of time in order to eliminate concurrent service and allow reciprocity.
- Outgoing Membership** – When a member terminates employment with Fresno County and is headed to another retirement system with which FCERA has a reciprocal agreement, upon request by the member, FCERA will provide the information needed for the outgoing member to establish reciprocity with the new system. However, it is still up to the other retirement system to return the information to FCERA in order to establish reciprocity. FCERA cannot change the date of termination in order to facilitate reciprocity.

#### 4.2 Process Flow

This section reviews the various aspects that encompass Reciprocity Processing with detail on the following:

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- Documentation
- Incoming Intersystem Membership
- Outgoing Intersystem Membership

#### 4.2.1 Documentation

In order to establish an Intersystem Membership for both incoming and outgoing, it is necessary to have issued and received a number of completed forms and affidavits (forms for incoming reciprocity are collected during the New Member Enrollment process). This documentation contains critical information that will determine eligibility for reciprocal service credit and age, as well as how much reciprocal service a member may claim. It is sometimes necessary to send multiple follow-up requests to reciprocal agencies before the needed documents are received. The need to submit follow-up requests accounts for much of the time between the application for reciprocity and its resolution.

#### 4.2.2 Incoming Intersystem Membership


There is a formal enrollment process at FCERA and the actual enrollment begins with County or plan sponsor HR where the new member completes the Enrollment Card. The Enrollment Card will have an option for the member to indicate if FCERA should consider any reciprocity from a previous system.

The process steps to establish Intersystem Membership for incoming members are as follows:

1. Office Assistant sends Inter-System Membership Advice (ISMA) form to the other agency. Send a second letter (same letter stamped 'second letter') to follow up if no response received in 30 days.
  - The following table lists the data elements in the 'TRANSFER FROM' section that are required from other retirement systems to establish Intersystem Membership (reciprocity) at FCERA:

<b><u>In This System</u></b>	<b><u>Incoming Reciprocal Service</u></b>
Separation date	Yes/No
Membership date	System name
Birth date	
Service/Tier	
Member's age for rate of contribution	
Years of service credited	
Remarks	
Certified by	
Title	
Date	




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2. Once the required documentation is received by FCERA from the other retirement system, Retirement Coordinator will verify that the date of separation is within six months of membership in FCERA and that there is no concurrent service.
3. Once a member's eligibility for reciprocity has been confirmed, and all necessary paperwork has been completed, it is possible to adjust the member's age of entry to the beginning date of the period of reciprocal service.
4. Office Assistant sends the Interoffice Form to plan sponsor, notifying of the age change and letter to member confirming reciprocity and age adjustment.
5. If FCERA does not have the required documentation to establish reciprocity with the previous retirement system, the member will continue to make contributions as a new member.
6. A retrospective change in age will result in a historical overpayment of contributions due to a lowered contribution rate. There will be a difference in actual contributions made at the higher rate and contributions that would have been due with a younger age. Lower rates must be calculated and a lump sum refund will be issued to the member. Refunds are processed by the Account Clerk. See Contribution Age adjustment process for next steps.

#### 4.2.3 Outgoing Intersystem Membership

The process steps to assist an outgoing member in establishing Intersystem Membership with another retirement system are as follows:

1. The process to establish Intersystem Membership for an outgoing member can be initiated in two ways:
  - Member terminates employment with the Plan Sponsor and requests to establish reciprocity
  - FCERA is notified by another retirement system that a member wishes to establish reciprocity for the eligible time in the FCERA system.
2. In either case, once FCERA confirms that the member has been terminated from employment with the Plan Sponsor, the Office Assistant begins the reciprocity process by having the member sign and return the Disposition Form. (**Note:** anytime a member terminates employment with the County and the final paycheck has been disbursed to the member, the payroll interface will automatically change the member's status in pension system from *active to inactive*). FCERA will not provide the Disposition Form to the member until they are separated from the system.)
3. Once the Disposition Form has been signed and returned, the Retirement Coordinator fills out the '*TRANSFER FROM*' section on the *Inter-System Membership Advice* form and sends it to the other retirement system to help them establish reciprocity. If no response is received, another request will be sent after 60 days.

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4. The following table lists the data elements in the '*TRANSFER FROM*' section that is filled out by FCERA to help establish Intersystem Membership (reciprocity) at the other retirement system:

<u><b>In This System</b></u>	<u><b>Incoming Reciprocal Service</b></u>
Separation date	Yes/No
Membership date	System name
Birth date	
Service/Tier	
Member's age for rate of contribution	
Years of service credited	
Remarks	
Certified by	
Title	
Date	

5. Once the ISMA is sent, it is the responsibility of the other retirement system to complete the '*TRANSFER TO*' section and send it back to FCERA.
6. The following table lists the data elements in the '*TRANSFER TO*' section:

<u><b>The Person Identified Above</b></u>	<u><b>Remarks</b></u>
Membership date	Certified by
Date of employment	Title
Or check item:	Date
<ul style="list-style-type: none"> <li>Person is in employment but not eligible for membership</li> <li>Person refunded contribution. Date of refund</li> <li>Person did not establish membership within 6 months of date of separation noted above</li> </ul>	Retirement system

7. Once the information for the ISMA is returned from the other retirement system, Retirement Coordinator verifies that there is no overlap in service and the six months window to establish reciprocity has not elapsed. If there is overlap in service, follow FCERA rules. Then run deferred event with reciprocity process in PENSIONS and generate Audit Trail and calculation summary showing the name of the agency. Send letter to the member confirming that reciprocity has been established.
8. If member has not met the criteria for establishing reciprocity, a denial letter along with the disposition form will be sent to the member to make another election and the file will be sent back through the Termination process.

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9. If reciprocity is established and deferred, the status will change to “deferred” in PNESIONS. Add name to Board agenda for approval if the deferred retirement has not been previously reported.
10. Keep copies of all documents in file.

### 4.3 Key Business Rules

The following business rules apply to the processing of requests for Intersystem Membership:

#### 4.3.1 Six Months Rule

- Membership in the reciprocal system must occur within six months after leaving service with the preceding reciprocal agency.
- The dates used to determine if the membership occurred within six months is the termination date of the previous employer and the membership date in the new retirement system.
- However, if date of termination and re-entry into the reciprocal agency was prior to 1976, reciprocity must have occurred within 90 days

#### 4.3.2 Overlap of Service


- Service may include time a member remains on the payroll due to vacation hours paid.
- Service may not be recorded in both systems for the same period of time.

#### 4.3.3 Contributions

- The accumulated contributions for a member must be left on deposit at FCERA in order to establish reciprocity with another system.
- The accumulated contributions left on deposit with FCERA may not be withdrawn unless membership is terminated with all reciprocal agencies and contributions are withdrawn from all reciprocal systems in the order the reciprocity was established.
- If a member withdraws contributions from FCERA, FCERA will notify any other reciprocal agencies of the withdrawal.

#### 4.3.4 Retirement

- When ready to retire, the reciprocal member must contact each system and retire on the same date with all systems (concurrent retirement must occur).

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- Member cannot establish reciprocity while receiving a retirement benefit from the reciprocal system.

#### **4.4 Areas of Concern/Risk and desired functionality for the new PAS**

Based on the current business process that falls within the scope of Reciprocity Processing, the following section identifies areas in which the new Pension Administration System should be able to provide more functionality.

##### **4.4.1 General Automation of Documents**

In order to eliminate the manual process of composing letters informing reciprocal systems and members that reciprocity has been established, the new PAS should have the ability to generate a standardized letter with pertinent information populated from the system once reciprocity processing has been concluded in the new PAS.


##### **4.4.2 Reciprocity Validation, Identification, and Calculation**

The current system does not have the ability to do the following:

- Identify overlaps in service – No overlap of service is allowed at FCERA and the new PAS system should have the ability to identify any overlap and to determine if the overlap falls within the allowable threshold. The system must require staff to review and either modify the date of membership or deny reciprocity.
- Verify that the member joined the system within six months after termination from previous system. The new PAS should compare the termination date from the previous system to the entry date to FCERA and confirm that the gap between services is not greater than six months.
- Calculate the total number of service credit including all eligible reciprocal service years
- Reciprocity does not change the entry date within the system. However, the new PAS should allow FCERA to track the previous' systems entry date in a separate field.

##### **4.4.3 Correspondence Tracking (Case Management)**

When FCERA sends out the ISMA to establish outgoing reciprocal membership, it is up to each Retirement Coordinator to keep track of the status of the application using various methods outside of the current PAS. The new PAS should have the ability to input the date the correspondence to other retirement systems were sent out and establish a threshold for a reminder. It would be most helpful to the management of establishing reciprocity (both incoming and outgoing) if the system could show the status and date of action for each step in the process.

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#### 4.4.4 Manual Overrides

Regardless of the rules that are built into the system to validate reciprocity, the new PAS should provide the ability for a manual override in cases where an exception needs to be made with supervisor / management authorization.

Another example of a manual override that would be needed for Reciprocity Processing is the ability for FCERA to manually create memberships in the PAS through an ad hoc method instead of having the membership created through the Payroll Interface file. This is often needed for situations where reciprocity is established through a redeposit for safety members.

#### 4.4.5 Inactive Member Accounts

During the period when an outgoing member is in the process of establishing reciprocity, the member's account must be changed into an inactive or suspense status depending on the eligibility service years.


#### Reports and letters:

- Enrollment card
- Interoffice form – notification of age adjustment to Plan Sponsor
- Letter to member (incoming) – confirming reciprocity and age adjustment
- Audit trail (Outgoing)
- Calculation Summary (Outgoing)
- Letter to member (Outgoing)
- Denial letter (Outgoing)
- Disposition form


## 5 Requirements

The formal requirements for Reciprocity processing are shown below.

ReqID	Process	Requirement details	Priority
305.001	Reciprocity Processing	The PAS will provide the capability to establish eligibility for reciprocity if membership in the reciprocal system occurred within 6 months after leaving service with the other reciprocal agency or within 90 days if date of termination with reciprocal agency and entry into new agency was prior to 1976.	1


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ReqID	Process	Requirement details	Priority
		The dates used to determine if the membership occurred within 6 months/90 days is the termination date of the previous employer and the membership date in the new retirement system.	
305.002	Reciprocity Processing	The PAS will provide the capability for establishing reciprocity anytime as long as the 6 months/90 day rule applies.	1
305.003	Reciprocity Processing	The PAS will provide the capability to calculate exact days of overlap in service between reciprocal systems.	2
305.004	Reciprocity Processing	The PAS will provide the capability to calculate the exact days of gaps in Service between FCERA and the reciprocal system.	2
305.005	Reciprocity Processing	The PAS will provide the capability to manually override data.  Regardless of the rules that are built into the system to validate reciprocity, manual override in cases where an exception needs to be made with a supervisor /management authorization.	2
305.006	Reciprocity Processing	The PAS will provide the capability for manual overrides for reciprocity eligibility by an authorized user.  i.e., even though 6 months may have passed, there may be special circumstance where reciprocity would still be granted and FCERA needs to have the ability to allow reciprocity.	2
305.006	Reciprocity Processing	The PAS will provide the capability to change status of an established incoming reciprocity for a member as ineligible in case the member took a refund from the reciprocal system or if the member is receiving benefit from the reciprocal system. The system must then also allow changes to contribution rates and any other applicable data and calculations.	2
305.007	Reciprocity Processing	The PAS will provide the capability to change the member's status to one that reflects a deferred reciprocal status.	2
305.008	Reciprocity Processing	The PAS will provide the capability to alert a staff member in case they are trying to refund contributions if a member has established outgoing reciprocity.  The general rule is that a member can only receive a refund of contributions in a previous system if they have taken a refund with the current system for which they have established outgoing reciprocity, i.e. a member must take refunds in the order they established reciprocity (from the current system backward). Therefore, FCERA can only process a refund of contributions if the outgoing reciprocity member has already received a refund at the current system.	2
305.009	Reciprocity Processing	The PAS will provide the capability to change the status of an established outgoing reciprocity for a member as ineligible in case the member takes a refund from FCERA.	2
305.010	Reciprocity Processing	The PAS will provide the capability to include reciprocal service in the determination of 30-year membership for all eligible members.	2
305.011	Reciprocity Processing	The PAS will provide the capability to capture and store multiple reciprocity records for a member, including reciprocal system name and total reciprocal service time.	2
305.012	Reciprocity Processing	The PAS will provide the capability to store date ranges for service for reciprocal memberships.	2
305.013	Reciprocity	The PAS will provide the capability to include eligible reciprocal	2

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ReqID	Process	Requirement details	Priority
	Processing	<p>service in calculation of total service credit to determine if a member is <b>eligible for retirement</b>.</p> <p>Please note that reciprocal service <b>is not</b> included for the actual calculation of the benefit.</p> <p>The only exception to this rule is the calculation of a benefit for a disability case: In this case, FCERA needs to be able to include all service credit from all systems to determine what the benefit would have been if all service would have been in one agency or one system.</p>	
305.014	Reciprocity Processing	<p>The PAS will provide the capability to record reciprocal information about a member, including but not limited to:</p> <ol style="list-style-type: none"> <li>1) Name of Reciprocal Agency</li> <li>2) Contact at Reciprocal Agency</li> <li>3) Termination Date of Reciprocal Agency</li> <li>4) Membership Date of Reciprocal Agency</li> <li>5) Years of Service with Reciprocal Agency (YRS / MOS)</li> <li>6) Entry Age in Reciprocal Agency</li> <li>7) Adjustment of Entry Age eligible? Y/N</li> <li>8) Purchased Service Prior to Membership with Reciprocal Agency (YRS / NOS and Type)</li> <li>9) Total days between termination date at reciprocal agency and entry date at FCERA</li> <li>10) Termination date of previous agency and entry date at FCERA falls within allotted timeframe of 6 months. (90 days if prior to 1976) Y/N?</li> <li>11) Days of overlap between Reciprocal Agency and FCERA (only applicable if 9. Above was &lt;= 0 days)</li> <li>12) Overlap of Service between Reciprocal Agency and FCERA falls within acceptable timeframe of 0 days? Y/N</li> <li>13) Eligible for Reciprocity? Y/N</li> <li>14) Reason for ineligibility</li> </ol>	2
305.015	Reciprocity Processing	<p>The PAS will provide the capability to capture information on Outgoing Reciprocity. Data to be captured must include but not limited to the following information:</p> <ol style="list-style-type: none"> <li>1) Reciprocal Agency for outgoing reciprocity</li> <li>2) Termination Date at FCERA</li> <li>3) Date of Membership at Reciprocal Agency</li> <li>4) Eligible for Outgoing Reciprocity (Y/N)</li> <li>5) Reason for ineligibility (if "N" selected for item 4.)</li> </ol>	2
305.016	Reciprocity Processing	The PAS will provide the capability to re-calculate a different contribution rate based on an updated entry age.	2
305.017	Reciprocity Processing	The PAS will provide the capability to calculate the difference between the original contributions and the new contributions for changes in the contribution basis rate due to age changes or due to other factor such as a Tier conversion.	2
305.018	Reciprocity Processing	The PAS will provide the capability to identify the final amount of over- or underpayment of contributions and interest to be posted against the member's records and must allow for a manual adjustment and refund based on this amount if necessary.	2
305.019	Reciprocity	The PAS will provide the capability to track outgoing reciprocity.	2




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ReqID	Process	Requirement details	Priority
	Processing		
305.020	Reciprocity Processing	The PAS will provide the capability to input the date the correspondence to other retirement systems was sent out.  It is sometimes necessary to send multiple follow-up requests to reciprocal agencies before the needed documentation is received.	2
305.021	Reciprocity Processing	The PAS will provide the capability to process and generate a lump sum refund in case of an overpayment of contributions due to a change in the contribution rate.	2
305.022	Reciprocity Processing	The PAS will provide the capability to display the results of the refund calculations on screen and in a refund worksheet, along with other data elements associated with the reciprocal service.	2
305.023	Reciprocity Processing	The PAS will provide the capability to flag active member as an Intersystem Member if applicable.	2
305.024	Reciprocity Processing	The PAS will provide the capability for drop-down list of agencies that FCERA has a reciprocal agreement with or have been set up as a reciprocal system through an existing member.	2
305.025	Reciprocity Processing	The PAS will provide the capability to modify the list of reciprocal agencies by an administrator or supervisor without the need for programming updates.	2
305.026	Reciprocity Processing	The PAS will provide the capability to produce reports on reciprocity – e.g. list of members who have outgoing reciprocity and the respective agencies, list of members who have incoming reciprocity and the corresponding agencies, summary reports with counts, etc.	2
305.027	Reciprocity Processing	The PAS will provide the capability to produce an automated Inter-System Membership Advice (ISMA) form, populated with the member's specific information, for both incoming reciprocity and outgoing reciprocity requests. The system must also provide for the ability to store these in the system and to keep track of the status.	2
305.028	Reciprocity Processing	The PAS will provide the capability to store ISMA in the system and to keep track of the status.	2
305.029	Reciprocity Processing	The PAS will provide the capability to suspend all requests associated with the reciprocity process, including, but not limited to, requests for forms and affidavits from reciprocal agency.	2
305.030	Reciprocity Processing	The PAS will provide the capability to store, display and update reciprocal Salary data in the member record.	2
305.031	Reciprocity Processing	The PAS will provide the capability to establish a threshold for a reminder that will then generate an automated notice to staff member to follow-up with the reciprocal agency.	2
305.032	Reciprocity Processing	The PAS will provide the capability to turn off reminder notifications once reciprocity has been established.	2
305.033	Reciprocity Processing	The PAS will provide the capability to automatically generate a reciprocity confirmation letter to member for incoming reciprocity.	2
305.034	Reciprocity Processing	The PAS will provide the capability to automatically generate a reciprocity confirmation letter to member for outgoing reciprocity.	2
305.035	Reciprocity Processing	The PAS will provide the capability to automatically generate a reciprocity denial letter to member.	2
305.036	Reciprocity	The PAS will provide the capability for a staff member to edit	2



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<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
	Processing	system generated letters before sending to member. (e.g., reciprocity confirmation letter, denial letter)	
305.037	Reciprocity Processing	The PAS will provide the capability for status indicator for each reciprocal agency identifying if withdrawal of contributions have been verified with any other outgoing reciprocal agencies.	2
305.038	Reciprocity Processing	The PAS will provide the capability to change the member status to inactive or suspense depending on the eligibility service years, during the period when an outgoing member is in the process of establishing reciprocity.	2

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## 4.4.306 Contribution / Age Adjustment

### 1 Overview

Contribution rates are calculated based on

- Base pay plus any special pay items considered “Compensation Earnable”
- Tier
- Age the member entered the retirement system
- Classification as either General or Safety

When contribution or entry age is changed in the system, contributions need to be recalculated and refunded to the member or collected from the member if underpaid.

### 2 Roles

PAS Role Name	Definition
Account Clerk	Receives request for age change for various reasons and verifies information and performs calculations.
Account Clerk Supervisor	Verifies changes and calculations.
Retirement Benefits Manager	Verifies changes and calculations.
Assistant Retirement Administrator	Approve changes and calculations.

### 3 Process Overview


#### 3.1 Process Scope

Contribution changes can happen at any time for various reasons. FCERA requests birth certificates only at retirement. Age is provided by the member at enrollment.

Contribution adjustments can be triggered internally within FCERA while working on another process, or externally such as with a random request from the member or due to reciprocity. When an age change or classification/tier change is identified, contribution amounts need to be recalculated and adjusted in the PAS system as well as the systems at the County and special districts.

#### 3.2 Process Steps

##### Simple Age Change

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Prior to 2003, if no birth certificate was provided within 60 days of membership, the system would use age 49 for Safety members and age 59 for General members, regardless of the actual age of the member. For example, the Audit Trail may mention that age is calculated at age 59 instead of 35.

For this process an Account Clerk performs the tasks unless specifically mentioned otherwise.


- County inputs the age shown in the Enrollment Card in the County payroll system and includes age in the payroll interface to FCERA to update PENSIONS.
- Send a memo to the plan sponsor (County) to correct the age starting on a specific pay period. FCERA staff watches for that change to come through the payroll interface which replaces age in PENSIONS.
- Send a letter to the member informing the member of the age change and the effective date of the new contribution rate. This is completed at the same time that the memo is sent to the plan sponsor.
- Perform the recalculation using the new age.
- Notify Special Districts of the age change to make contributions adjustments in their systems.
- Once the amount of overpayment/underpayment is determined, a letter is prepared to notify the member of the amount. An overpayment letter includes information on when the refund is expected to be issued. An underpayment letter includes an Election to Deposit Contributions form. Underpayments must be made in a lump sum of already taxed funds. Members are generally given 45 days to submit the payment.
- Overpayments of active members are processed through the Plan Sponsor. Overpayments of retired members are processed through the Plan Sponsor or the Disbursement Bank, depending on the member's date of retirement.
- Refunds of overpayments made through the disbursement bank are coordinated through the Supervising Accountant.
- Once the contributions are refunded or payment has been made by the member, PENSIONS is updated by another Account Clerk.

See the Appendix of this document for sample summary calculations for a member who had age change from 59 to 39.

### **Simple Reciprocity Age Change**

For this process Account Clerk performs the tasks unless specifically mentioned otherwise.

- Receive a completed Inter Agency Form from the reciprocal agency and confirm the age using the formula.


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- If the age is suspected to be incorrect, contact the reciprocal agency notifying of difference in age and request them to verify the age.
- Send a memo to County to correct the age starting on a specific pay period. FCERA staff watches for that change to come through the payroll interface which overrides/replaces age in PENSIONS.
- Send a letter to member informing of the age change and the effective date of the new contribution rate. This is completed at the same time the memo is sent to the plan sponsor.
- Using the old History Card, new History Card and PeopleSoft query (if County employee), verify leave of absence, pay rate change and/or age change.
- Perform the recalculation using the new age and Contribution Adjustment Worksheet.
- Notify Special Districts of the age change to make contributions adjustments in their systems.
- Once the amount of overpayment/underpayment is determined a letter is prepared to notify the member of the amount. An overpayment letter includes information on when the refund is expected to be issued. An underpayment letter includes an Election to Deposit Contributions form. Underpayments must be made in a lump sum of already taxed funds. Members are generally given 45 days to submit the payment.
- Overpayments of active members are processed through the Plan Sponsor. Overpayments of retired members are processed through the Plan Sponsor or the Disbursement Bank, depending on the member's date of retirement.
- Refunds of overpayments made through the disbursement bank are coordinated through the Supervising Accountant.
- Once the contributions are refunded or payment has been made by the member, PENSIONS is updated.

### **Other Scenarios**

It is common for a member to have a change in any of the following:

- Age
- Tier
- Classification
- Salary
- Combination of any of the above
- Combination of all of the above

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The process steps for these more complicated scenarios are similar to simple age change, except for the amount of research required to finalize the recalculation to determine underpayment/overpayment.

An Account Clerk determines the type of change needed using the old History Card, new History Card and PeopleSoft query (if County employee).

Once the age change has been verified, an Account Clerk begins the process of calculating the contributions for the old (incorrect) age and the new (correct) age for each type of other change to determine if money is to be refunded to member or member needs to make a payment to FCERA.

See the Appendix to this document for sample summary calculations for a member who had changes in classification and age.

### 3.3 Areas of Concern

The new PAS system should flag or warn the user if there are any discrepancies in age.

The PAS system should be able to recalculate the contribution rates based on the new age by providing calculations on new age and old age for comparison.

FCERA Staff will not be able change their own information or records in the new PAS system.

### 3.4 Key Business Rules

If a member is also covered under Social Security, the rate is reduced by one-third on the first \$162 of bi-weekly salary, the first \$175 of semi-monthly salary, or the first \$350 on monthly salary (depending on pay cycle).

Retirement Contribution Rates are also impacted by the results of the actuarial experience study that FCERA conducts every three years. Age-graded tables should be available for appropriate staff to maintain.


Refunds for deferred and retired members are made through the disbursement bank unless it is within the same calendar year as the termination.

Contributions continue to earn interest until the time of refund.

Underpayment amounts are calculated post tax. Payments must be made as lump sum check as payroll installments are not an option for contribution adjustments.

The following are required for each recalculation:

- Age
- Employment dates
- Pay periods
- Annual interest rate
- Basic pay
- Basic low rate


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- Basic high rate
- COL low rate
- COL high rate
- Supplemental Employee low rate
- Supplemental Employee high rate
- COL supplemental Employee low rate
- COL supplemental Employee high rate
- Basic contribution
- COL contribution
- Supplemental Employee contribution
- Supplemental Employee COL contribution
- Basic interest
- COL interest
- Supplemental Employee basic interest
- Supplemental Employee COL interest

### 3.4.1 Currently Used Forms and Reports

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- Contribution Adjustment Worksheet – lists pay period contributions, interest postings and any rate changes.
- Evidence of Birth
- Enrollment Card
- Old History Card
- New History Card
- PeopleSoft Query
- Memo to County
- Letter to Districts
- Memo to Member
- Audit Trail
- Inter-agency form

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## 4 Analysis and Recommendation

Contribution and age adjustments can be triggered at any time for various reasons. Depending on the type of adjustment, thorough research using old and new history cards, plus queries to PeopleSoft and PENSIONS, is needed to get the correct data. Having data in one system will allow the PAS to generate the recalculation, along with the associated worksheets and letters, and thereby reduce the processing time significantly.

Since the adjustments can be triggered by any event, the ability to start a workflow for this process automatically and/or manually is required. Workflows will automate the approval process for the calculations.


## 5 Requirements

ReqID	Process	Requirement Detail	Priority
306.001	Contribution / Age Adjustment	<p>The PAS will provide the capability to recalculate employee contribution based on the following changes:</p> <ul style="list-style-type: none"> <li>• Age</li> <li>• Tier</li> <li>• Classification</li> <li>• Salary</li> <li>• Combination of any of the above</li> <li>• Combination of all of the above</li> </ul>	1
306.002	Contribution /Age Adjustment	<p>The PAS will provide the capability to track the following data to be used in recalculating new contribution amount.</p> <ul style="list-style-type: none"> <li>• Age</li> <li>• Employment dates</li> <li>• Pay periods</li> <li>• Annual interest rate</li> <li>• Basic pay</li> <li>• Basic low rate</li> <li>• Basic high rate</li> <li>• COL low rate</li> <li>• COL high rate</li> <li>• Supplemental Employee low rate</li> <li>• Supplemental Employee high rate</li> <li>• COL supplemental Employee low rate</li> <li>• COL supplemental Employee high rate</li> <li>• Basic contribution</li> <li>• COL contribution</li> <li>• Supplemental Employee contribution</li> <li>• Supplemental Employee COL contribution</li> <li>• Basic interest</li> <li>• COL interest</li> <li>• Supplemental Employee basic interest</li> <li>• Supplemental Employee COL interest</li> </ul>	2


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ReqID	Process	Requirement Detail	Priority
306.003	Contribution /Age Adjustment	The PAS will provide the capability to override data to make manual adjustments with proper security/authorization.	2
306.004	Contribution /Age Adjustment	The PAS will provide the capability to restrict staff's ability to change their own information or record.	2
306.005	Contribution /Age Adjustment	<p>The PAS will provide the capability to identify, track, and report members who joined FCERA prior to 2003 and have discrepancies in age.</p> <p>Prior to 2003, if no birth certificate was provided within 60 days of membership, then the system would use age 49 for Safety members and age 59 for General members, regardless of the actual age of the member.</p>	2
306.006	Contribution /Age Adjustment	The PAS will provide the capability to create a warning if there are any discrepancies in age for any member.	2
306.007	Contribution /Age Adjustment	The PAS will provide the capability to create a memo to County to correct the age for a member starting on a specific pay period.	2
306.008	Contribution /Age Adjustment	<p>The PAS will provide the capability to create the Contribution Adjustment Worksheet or similar report containing, but not limited to, the following:</p> <ul style="list-style-type: none"> <li>• Calculations for correct age for each age/classification/tier/salary</li> <li>• Calculations for incorrect age for each age/classification/tier/salary</li> <li>• Refund summary</li> <li>• Payment summary</li> <li>• Salary history</li> <li>• Rates</li> </ul>	2
306.009	Contribution /Age Adjustment	The PAS will provide the capability to create a letter to the member informing of the age/contribution changes and the effective date of the new contribution rate.	2
306.010	Contribution /Age Adjustment	The PAS will provide the capability to create a memo to Special Districts notifying of age change to make contribution adjustments in their systems.	2
306.011	Contribution /Age Adjustment	The PAS will provide the capability to recalculate the contribution rates based on the new age.	2
306.012	Contribution /Age Adjustment	The PAS will provide the capability to determine overpayment / underpayment by comparing calculations on new age and old age.	2
306.013	Contribution /Age Adjustment	The PAS will provide the capability to create a letter to the member notifying of overpayment amount and the expected date for refund.	2
306.014	Contribution /Age Adjustment	The PAS will provide the capability to create a letter to the member notifying of underpayment including elections to deposit contributions.	2
306.015	Contribution /Age	The PAS will provide the capability for the member to make lump sum payment for post-tax funds for underpayments.	2



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<b>ReqID</b>	<b>Process</b>	<b>Requirement Detail</b>	<b>Priority</b>
	Adjustment		
306.016	Contribution /Age Adjustment	The PAS will provide the capability to track the date of underpayment letter to member to collect funds in 45 days.	2
306.017	Contribution /Age Adjustment	The PAS will provide the capability to process overpayments for active members through Plan Sponsor.	2
306.018	Contribution /Age Adjustment	The PAS will provide the capability to process overpayments of retired members through Plan Sponsor or Disbursement Bank.	2
306.019	Contribution /Age Adjustment	The PAS will provide the capability for staff to determine check date for overpayments.	2
306.020	Contribution /Age Adjustment	The PAS will provide the capability to include social security integration when recalculating contribution amounts.	2
306.021	Contribution /Age Adjustment	The PAS will provide the capability to maintain age-graded tables.  Retirement contribution rates are impacted by the results of the actuarial experience study that FCERA conducts every three years.	2
306.022	Contribution /Age Adjustment	The PAS will provide the capability to use workflows and checklists related to contribution and age adjustments.	2
306.023	Contribution /Age Adjustment	The PAS will provide the capability to enter notes for adjustments.	2
306.024	Contribution /Age Adjustment	The PAS will provide the capability for peer and/or supervisor review of adjustments.	2
306.025	Contribution /Age Adjustment	The PAS will provide the capability to report on contributions/age adjustments in process. i.e., letter to member sent, researching salary history etc.	2
306.026	Contribution /Age Adjustment	The PAS will provide the capability to report on all contributions/age adjustments using date range.	2

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## 6 Appendix


### Example1: Simple age change

		Taxed portion	\$0.00	
		Taxable portion	-\$5,450.11	
		Total Amount of Refund	<b>-\$5,450.11</b>	
<b>account numbers</b>		<b>Taxed</b>	<b>Taxable</b>	<b>Total</b>
xxx1-0100	Tier 1 Gen Annuity & Int	<b>\$0.00</b>	<b>-\$3,147.44</b>	-\$3,147.44
xxx2-0200	Tier 1 Gen Col & Int	<b>\$0.00</b>	<b>-\$1,927.76</b>	-\$1,927.76
xxx6-0600	Tier 1 Settlemnt Annuity & Int	<b>\$0.00</b>	<b>-\$282.93</b>	-\$282.93
xxx5-0500	Tier 1 Supp Col & Int	<b>\$0.00</b>	<b>-\$91.98</b>	-\$91.98
xxx1-0120	Tier 2 Gen Annuity & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxx2-0220	Tier 2 Gen Col & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxx1-0130	Tier 3 Gen Annuity & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxx2-0230	Tier 3 Gen Col & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxxx	Interest-BOR Appr.	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxx3-0300	Tier 1 Safety Annuity & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxx4-0000	Tier 1 Safety Col & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxx7-0700	Tier 1 Safety Settlmnt Annuity & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxx8-0800	Tier 1 Safety Supp Col & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxx3-0320	Tier 2 Safety Annuity & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxx4-0420	Tier 2 Safety Col & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxxx	Interest-BOR Appr.	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
		<b>\$0.00</b>	<b>-\$5,450.11</b>	<b>-\$5,450.11</b>
Reason for refund	Contribution Adjustment after member turned Birth Cert to verify entry age. Age change from 59 to 39 for the period 3/17/03-6/27/10			

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### Example 2: Age and Classification changes

		Taxed portion	\$0.00	
		Taxable portion	-\$15,451.40	
		Total Amount of Refund	<b>-\$15,451.40</b>	
<b>account numbers</b>				
		<b>Taxed</b>	<b>Taxable</b>	<b>Total</b>
xxx1-0100	Tier 1 Gen Annuity & Int	<b>\$0.00</b>	<b>-\$2,044.76</b>	-\$2,044.76
xxx2-0200	Tier 1 Gen Col & Int	<b>\$0.00</b>	<b>-\$1,235.90</b>	-\$1,235.90
xxx6-0600	Tier 1 Settlemnt Annuity & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxx5-0500	Tier 1 Supp Col & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxx1-0120	Tier 2 Gen Annuity & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxx2-0220	Tier 2 Gen Col & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxx1-0130	Tier 3 Gen Annuity & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxx2-0230	Tier 3 Gen Col & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxxx	Interest-BOR Appr.	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxx3-0300	Tier 1 Safety Annuity & Int	<b>\$0.00</b>	<b>-\$9,939.91</b>	-\$9,939.91
xxx4-0000	Tier 1 Safety Col & Int	<b>\$0.00</b>	<b>-\$1,467.99</b>	-\$1,467.99
xxx7-0700	Tier 1 Safety Settlmnt Annuity & Int	<b>\$0.00</b>	<b>-\$590.78</b>	-\$590.78
xxx8-0800	Tier 1 Safety Supp Col & Int	<b>\$0.00</b>	<b>-\$172.06</b>	-\$172.06
xxx3-0320	Tier 2 Safety Annuity & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxx4-0420	Tier 2 Safety Col & Int	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
xxxx	Interest-BOR Appr.	<b>\$0.00</b>	<b>\$0.00</b>	\$0.00
		<b>\$0.00</b>	<b>-\$15,451.40</b>	<b>-\$15,451.40</b>
Reason for refund	Refund of overpaid contributions due to age change after member turned in Birth Cert to verify age change from 59 to 27, Adj period period 2/23/87-5/12/91 @ GenT1 & period 5/13/91-6/18/06 @ SafetyT1			

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## 4.4.307 Termination Process

### 1 Overview


Members who terminate employment have several options with regard to their FCERA membership.

- Terminate their membership and withdraw their contributions and interest
- Leave their money on deposit with FCERA, and request a deferral (vested or non-vested). Non-vested members can be deferred if reciprocity is established.
- Roll the taxable contributions and interest to a qualified plan and refund taxed contributions.
- Apply for deferral with reciprocity, subject to the rules associated with out-bound reciprocity.
- Refund part of the funds directly and roll the remaining funds into a qualified plan
- Terminate their membership and leave their contributions and interest on deposit until they are eligible to retire.

Withdrawals are processed at FCERA for active members that terminate their employment and their membership with FCERA. It may also apply to deferred members, reciprocal members who have terminated their services with a reciprocal system, members who have less than five years of service and surviving spouses of active deceased.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	Responsible for validating eligibility and running termination event.
Account Clerk	Responsible for processing the paperwork and determining eligibility for refund processing.
Supervising Accountant	Responsible for reviewing and approving funds to be released by the bank.

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### 3 Process Overview

#### 3.1 Process Scope


The scope of this process starts when the Plan Sponsor or the member communicates that the member has terminated employment and ends when the member either leaves his/her money on deposit or receives the rollover/termination refund.

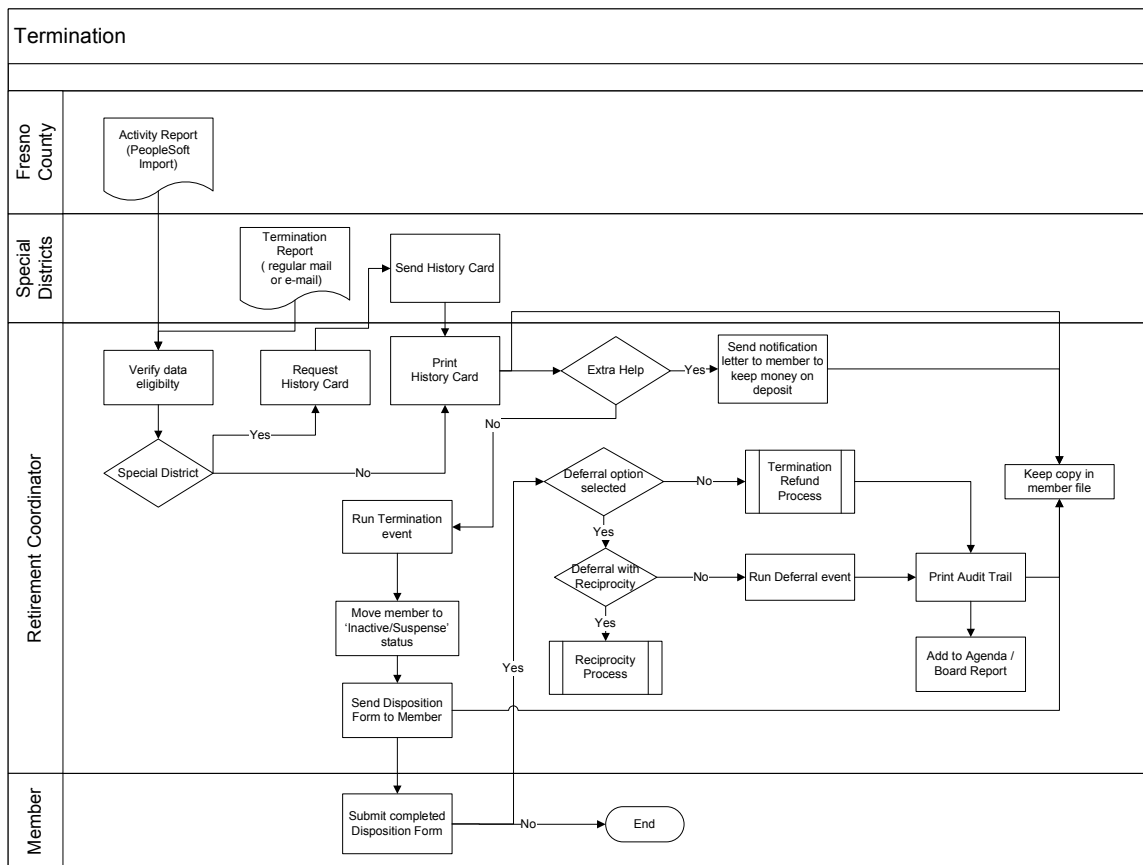
The goal of termination withdrawal processing is to ensure that a member who terminates employment is counseled properly in making decisions about what to do with contributions on deposit. If the member elects to withdraw all contributions on deposit, the withdrawal process also ensures that the member receives a check for contributions and interest up to and including the termination date in a timely manner.

When a member terminates, the member is not required to take any action in terms of submitting forms or paperwork unless the member wants a refund. If no action is taken, a member who has more than five years of service is assumed to be deferred and the contributions are left on deposit. The member can submit a request for refund at anytime after termination. The FCERA Payroll Unit processes termination refunds biweekly through a fairly manual payroll process. Checks are processed through the disbursement bank, currently State Street Bank.

#### 3.2 Process Flow


The process is depicted in the figure below:

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Termination activities are performed by Retirement Coordinator unless another role is specifically mentioned.

1. County employees – Retirement Coordinator receives Activity Report from PeopleSoft import.
2. Special Districts employees – Retirement Coordinator receives Termination Report via e-mail or regular mail.
3. Verify data in County payroll system (PeopleSoft).
4. Request History Card from Special Districts.
5. Print the History Card once it is received from Special Districts/County.
6. If the member status changed to Extra Help (less than 50% FTE or in a position not covered by membership), send notification letter to Member to keep money on deposit and keep a copy in file.
7. If the termination is for a regular employee, run Termination event.
8. Manually change member status to Inactive/Suspense.
9. Send Disposition Form to member regardless of Plan Sponsor and keep a copy in file.

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10. Member submits completed Disposition Form that shows the election.
11. If Refund option is selected, see Termination Refund process.
12. If Deferral option is selected, run Deferral event, print Audit Trail and add to Board agenda/Board report.
13. If the Member belongs to Reciprocal Agency and chose the Deferral with Reciprocity option, see *Reciprocity process*.

In the Termination Refund Process, most of the termination activities are performed by Account Clerk unless another role is specifically mentioned.

At termination, members can choose from the following options regardless of Plan Sponsor:

- a. Direct distribution where they can withdraw their contributions and interest
  - b. Direct rollover to another qualified plan
  - c. Part direct distribution / Part rollover, where they can receive a partial refund and the rest of the amount rolled over to a qualified plan
1. Review Disposition Log for eligibility for refund for County employees. i.e., member nearing retirement or contributions have been previously refunded by reviewing Audit Trail in PENSIONS.
  2. If the member resigned, determine member status and age in PENSIONS. Status should be 'Terminated'.
  3. If member is eligible for retirement at time of termination, pass the file to Benefits to contact member for counseling. Member may decide to take refund even after counseling.
    - a. If member file indicates that there is a DRO on file, pass the file to Benefits to process.
    - b. Verify contribution history in PENSIONS and offcycle contributions in County payroll (PeopleSoft) system. Manually post offcycle contributions in PENSIONS when necessary.
    - c. Verify termination reason by reviewing the Workforce Summary tab in PeopleSoft.
    - d. Update NBX file and send to Supervising Accountant for review. If approved, send the file to disbursement bank (State Street Bank).
    - e. Supervising Accountant approves fund release after reviewing Trial Balance Report and Tax Reports from the Bank via secure e-mail. When the Bank creates Trial Balance Report, FCERA can view the payments online at the Bank.



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- f. Once the Bank releases the checks, Account Clerk reviews the Lump Sum Participant Check Ledger Detail Report online at the Bank and verifies that the date field shows 'paid', and prints a copy of the check and keep in file to respond to any member inquiries in the future.
  - g. Run 'Refund' event in PENSIONS to zero out contribution balance, and to change Employment and Category status to 'Refund'.
  - h. Verify that payroll import Activity Report shows that member has taken refund and verify the control total for the total refund amount.
  - i. Update Lump Sum Distribution Journal with information from NBX file (name, SSN, contribution balances, total etc...) Update Summary tab with tier and classification information. Update another tab for general journal entry in General Ledger (NAV) system.
4. If the termination reason is other than 'resigned' (i.e, layoff, disciplinary, or failure to meet department standards), the member may not be eligible for a refund immediately.
    - a. Check with Fresno County Civil Service Commission if the member is appealing the termination or requesting a hearing, and then place the refund process on hold. FCERA monitors the Civil Service Commission agenda monthly. Member has 15 working days to file grievance.
    - b. E-mail Civil Service Commission to confirm that a hearing is not needed before starting the refund process.
    - c. If the member is reinstated, follow the settlement agreement.
  5. Normal refund process is completed within 6-8 weeks and the documents are filed in the member's file and placed in the termination bin (rather than the file room).


### 3.3 Areas of Concern

FCERA can submit only one batch per day per type due to bank limitations. A different account id or tier is needed to pay someone twice in the same day.

A new PAS system must provide a report similar to the Disposition Log with any remarks regarding the termination status with reasons, and a Contribution History report that shows both biweekly and offcycle contributions.

A new PAS must create termination refunds checklist / procedures as part of workflow for notifications and tasks.

A new PAS must create termination letter to the member providing the contribution dollar amount, interest earned and the number years in the system.

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### 3.4 Key Business Rules

All members including non-vested members are allowed to leave their funds on deposit. These funds continue to receive interest every six months.

Vested and non-vested members who choose to remove their funds (contribution and interest) from FCERA are allowed to take all employee-owned contributions and interest. A refund represents all life-to-date employee contributions and interest accrued for the member. Employer contributions are not subject to refund to the member, nor are they individually refunded or transferred back to the plan sponsor or another reserve account.

Contributions made on a post-tax basis cannot be rolled over.

For those members who elect to take a withdrawal, the taxable portion is subject to a mandatory 20% federal tax withholding. Non-taxable contributions are issued directly to the member. California state tax is optional and determined by the member.

For those members who elect to take a rollover, the payment is considered tax-deferred and therefore will contain no tax withholding. The disposition form is sent to the member, who has their financial institution fill out a portion. Once the form is received back by FCERA, the payment will be sent directly to the financial institution. FCERA does not send rollover payments directly to members.

Members can roll over any portion of their pre-tax contributions; it is not all or nothing. Any portion they do not roll over is subject to the tax withholding mentioned above.

#### 3.4.1 Required Minimum Payments

Not in use at this time but may be in the future.


#### 3.4.2 Deferred and Deferred Reciprocity

After AB2766 was passed, modifying Section 31629.5 of the 1937 Act, all members, even non-vested members, are allowed to leave their funds on deposit. Those funds continue to receive interest every six months.

Vested Deferred members (those with 5 or more years of service) are eligible to retire at any time that they would have qualified for retirement had they remained in County or Special District service. Retirement benefit payments do not commence automatically – the deferred member must complete the appropriate forms according to the retirement process. Deferred retirements are also subject to IRC 401(a)(9) mandatory distribution requirements.

Unless reciprocity has been established, an election for deferral may be cancelled at any time, and contributions plus interest withdrawn. This option may not be exercised once retirement benefit payment begins.

If a Vested Deferred member dies, the beneficiary is not eligible to receive a survivor benefit. Contributions and interest will be refunded.

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If a member has established reciprocity and reached the age 70.5+, he/she may remain as a deferred member as long as he/she is working for a reciprocal agency. Mandatory retirement occurs only when the member is no longer actively working for a Plan Sponsor or reciprocal agency.

### **3.4.3 Distribution of Community Property**

If FCERA has a joinder on file, the member must provide the distribution of community property from the court that defines the community property entitlement. Otherwise, FCERA staff cannot distribute or rollover the funds.

### **3.4.4 Extra Help**

Members who are in a status of extra help may not receive a refund. Members must separate from extra help prior to receiving the refund. Once they receive a refund, they may return to extra help.

### **3.4.5 Disability**

A member who is in the process of applying for a disability may not elect a refund. Doing so invalidates the member's disability application, as it severs his or her membership.

## **3.5 Data Points**


### **3.5.1. Currently Available Data**

Various sources are used for the processing of withdrawals and terminations:

- Election options (1-4)
- Pre/post tax contributions (\$)
- Tax withholding (%)
- Name of financial institution
- Address
- Account type (fed/401K)
- Date of refund
- Check #
- Check date

## **3.6 Reports/Forms**

The following reports and forms are used in the process:

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Activity Report

Special Districts Termination Reports

History Card

Disposition Form

Audit Trail

Disposition Log – manual spreadsheet to keep track of all refunds based on completed disposition forms.

NBX file – Bank formatted file (spreadsheet) for upload.

Trial Balance Report from State Street Bank – for each batch and detailed by payment for each member.

Tax Reports from State Street Bank – batch amount, tax amount, distribution codes etc...

Lump Sum Distribution Journal – information from NBX file reformatted in Excel spreadsheet.

## 4 Analysis and Recommendation


Upon termination of employment, FCERA members can choose to continue or terminate their membership. Members are counseled to make informed decisions due to tax implications. If a member chooses to take a refund or establish reciprocity, the termination process continues on to appropriate process.

Member correspondence is an integral part of termination process. Supporting documents used in this process need to be integrated with EDMS for better workflow and productivity.


Checklist capabilities in the new PAS will help to keep track of documents needed to complete the process.

## 5 Requirements


ReqID	Process	Requirement Detail	Priority
307.001	Termination	<p>The PAS will provide the capability to process all termination scenarios.</p> <ul style="list-style-type: none"> <li>a. They may terminate their membership and withdraw their contributions and interest</li> <li>b. They may leave their money on deposit with FCERA, and request a deferral (vested or non-vested). Non-vested can be deferred if reciprocity is established.</li> <li>c. They may roll the taxable contributions and interest to a</li> </ul>	1

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	<b>Termination Process</b>	

ReqID	Process	Requirement Detail	Priority
		<p>qualified plan and refund taxed contributions.</p> <p>d. They may apply for deferral with reciprocity, subject to the rules associated with out-bound reciprocity.</p> <p>e. They may refund part of the funds directly and roll the remaining funds into a qualified plan</p> <p>f. They may terminate their membership and leave their contributions and interest on deposit until they are eligible to retire.</p>	
307.002	Termination	The PAS will provide the capability to process withdrawals for terminated members.	2
307.003	Termination	<p>The PAS will provide the capability to restrict refunds to employee contributions and interest accrued.</p> <p>Vested and non-vested members who choose to remove their funds (contribution and interest) from FCERA are allowed to take all employee-owned contributions and interest. A refund represents all life-to-date employee contributions and interest accrued for the member. Employer contributions (not including employer pickups) are not subject to refund to the member, nor are they individually refunded or transferred back to the plan sponsor or another reserve account.</p>	2
307.004	Termination	<p>The PAS will provide the capability to restrict rollovers of post-tax contributions.</p> <p>Members may roll over their taxable contributions and interest to a qualified plan. Contributions made on a post-tax basis cannot be rolled over.</p>	2
307.005	Termination	<p>The PAS will provide the capability to process rollovers without tax withholding.</p> <p>For those members who elect to take a rollover, the payment is considered tax-deferred and therefore will contain no tax withholding.</p>	2
307.006	Termination	<p>The PAS will provide the capability to process partial rollovers.</p> <p>Members can roll over any portion of their pre-tax contributions. Any portion they do not roll over must be distributed to the member and is subject to withholding rules.</p>	2
307.007	Termination	The PAS will provide the capability to process partial refunds.	2
307.008	Termination	<p>The PAS will provide the capability to maintain member information and interest payments for deferred members.</p> <p>After AB2766 was passed, modifying Section 31629.5 of the 1937 Act, all members, even non-vested members, are allowed to leave their funds on deposit. Those funds continue to receive interest every six months.</p>	
307.009	Termination	<p>The PAS will provide the capability to process retirement for vested deferred members.</p> <p>Vested Deferred members (those with 5 or more years of qualifying service) are eligible to retire at any time that they would have qualified for retirement had they remained in County service.</p>	2


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ReqID	Process	Requirement Detail	Priority
		Retirement benefit payments do not commence automatically – the deferred member must complete the appropriate forms according to the retirement process. Deferred retirements are also subject to IRC 401(a)(9) mandatory distribution requirements.	
307.010	Termination	<p>The PAS will provide the capability to process withdrawals for deferred members who have not received retirement benefit payments and that have not established reciprocity.</p> <p>Unless reciprocity has been established, an election for deferral may be cancelled at any time, and contributions plus interest withdrawn. This option may not be exercised once retirement benefit payments begin.</p>	2
307.011	Termination	<p>The PAS will provide the capability to refund vested members contributions and interest to a beneficiary.</p> <p>If a Vested Deferred member dies, the beneficiary is not eligible to receive a survivor benefit. Contributions and interest will be refunded to the beneficiary.</p>	2
307.012	Termination	The PAS will provide the capability to generate individual 1099Rs for each type of withdrawal payment with a unique distribution code. If a distribution code is the same for multiple payments, there should only be one 1099R.	2
307.013	Termination	The PAS will provide the capability to automatically compute the amount of contribution and interest to refund to member based on contribution and interest types.	2
307.014	Termination	The PAS will provide the capability to automatically reduce the member's account balance of contributions, interest and service down to zero when withdrawal payments are all posted in system.	2
307.015	Termination	The PAS will provide the capability to keep the member's account balance of contributions, interest and service down to zero when withdrawal payments are all posted in system should the member decide to redeposit funds in the future.	2
307.016	Termination	The PAS will provide the capability to keep the original payment number and date after the member takes refund.	2
307.017	Termination	The PAS will provide the capability to default to 20% federal tax withholding for withdrawal payments.	2
307.018	Termination	The PAS will provide the capability for optional CA state tax withholding (as determined by the member) for withdrawal payments.	2
307.019	Termination	<p>The PAS will provide the capability to withhold 0% federal tax and 0% CA state tax for rollover payments.</p> <p>For those members who elect to take a rollover, the payment is considered tax-deferred and therefore will contain no tax withholding</p>	2
307.020	Termination	The PAS will provide the capability to override default tax withholding percentages and amounts by staff member.	2
307.021	Termination	The PAS will provide the capability to maintain payment history with check numbers for refund and rollover checks.	2
307.022	Termination	The PAS will provide the capability to show paid status of payment in payment history for the member.	2


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ReqID	Process	Requirement Detail	Priority
307.024	Termination	The PAS will provide the capability to record and maintain financial institution data if the member selects rollover or partial lump sum payment.	2
307.025	Termination	<p>The PAS will provide the capability to restrict distribution or rollover of fund if FCERA has a DRO or joinder on file.</p> <p>If FCERA has a joinder on file, the member must provide the distribution of community property from the court that defines the community property entitlement. Otherwise, FCERA staff cannot distribute or rollover the funds.</p>	2
307.026	Termination	The PAS will provide the capability to process withdrawals appropriately for members who have one or more DRO's on file, where multiple payments with multiple payees may be necessary.	2
307.027	Termination	The PAS will provide the capability to alert staff if there is legal-hold (such as in the case of a DRO on file or tax lien) on member's account before issuing a withdrawal or rollover.	2
307.028	Termination	<p>The PAS will provide the capability to prevent refunds to members in extra help status.</p> <p>Members who are in a status of extra help may not receive a refund. Members must separate from extra help prior to receiving the refund. Once they receive a refund, they may return to extra help.</p>	2
307.029	Termination	<p>The PAS will provide the capability to provide a warning when processing refunds for a member who has applied for disability.</p> <p>A member who is in the process of applying for a disability may not elect a refund without invalidating the member's application, as it severs his or her membership.</p>	2
307.030	Termination	The PAS will provide the capability to for withdrawals and rollovers to create general ledger financial transactions only upon generation of the withdrawal or rollover payments, not at the time the setup of the withdrawal/rollover is done (i.e., during the running of a termination payroll batch process).	2
307.031	Termination	The PAS will provide the capability to issue partial refunds including splitting out the portions to be refunded into multiple payments.	2
307.032	Termination	The PAS will provide the capability to pay combinations of payments (whether they be one to the member and one or more financial institutions for direct rollover) in one transaction or multiple transactions, based on member selection.	2
307.033	Termination	The PAS will provide the capability to make changes to the financial institution after the payment has initially been set up without having to cancel or terminate the actual setup of the payment, even if the payment record has already been generated, so long as the payment has not been posted in the system.	2
307.034	Termination	The PAS will provide the capability to make changes to payee information such as payee address or name without having to void the original payment.	2
307.035	Termination	The PAS will provide the capability to create an alert or warning when address or payee name is altered	2



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ReqID	Process	Requirement Detail	Priority
307.036	Termination	The PAS will provide the capability to recalculate a withdrawal payment without having to cancel the entire benefit, in case additional contributions came into the system between the initial setup and the time the payment was posted and issued.	2
307.037	Termination	The PAS will provide the capability for a payment to be adjusted or recalculated prior to its posting only if the payment was posted before check is issued and the check is for the adjusted amount.	2
307.038	Termination	The PAS will provide the capability to have separate account id or tier to make multiple payments to a member the same day.  FCERA can submit only one batch per day per type due to bank limitations.	2
307.039	Termination	The PAS will provide the capability to create a report similar to Disposition Log including any remarks regarding the termination status and reasons.	2
307.040	Termination	The PAS will provide the capability to create a Contribution History report that shows both biweekly and offcycle contributions.	2
307.041	Termination	The PAS will provide the capability to create termination refunds checklist / procedures as part of workflow for notifications and tasks.	2
307.042	Termination	The PAS will provide the capability to create termination letter to the member providing the contribution dollar amount, interest earned and the number years in the system.	2
307.043	Termination	The PAS will provide the capability to create a system generated payment letter that will go to the financial institution for rollovers, containing selectable demographic information about the member, as well as financial institution information such as its name, address, bank or routing number, and account number.	2
307.044	Termination	The PAS will provide the capability to generate a letter that shows what the withdrawal or rollover amount will be, and compare it to a future monthly benefit if the member were to defer until the first eligible date of retirement, if the member is vested.	2
307.045	Termination	The PAS will provide the capability to put member account into a “prepare for refund” type of status prior to receiving all necessary information for actual processing. This will help to track withdrawals even prior to their setup.	2
307.046	Termination	The PAS will provide the capability to review all “prepare for refund” member accounts in a single screen, and to be able to initiate the withdrawal payment(s) from this screen.	2
307.047	Termination	The PAS will provide the capability to change payment from a rollover to a withdrawal check to the member, and vice versa, without having to recalculate, terminate, or cancel the payment record or benefit setup.	2

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## 4.4.308 Member Correspondence

### 1 Overview

There are many instances when FCERA staff members might send correspondence to members regarding their accounts, general FCERA news or regarding change of laws that might affect members' retirement benefits.


Overall, member communications can happen via the following main distribution channels:

- Newsletter (currently published quarterly)
- Via FCERA's website at: [www.FCERA.org](http://www.FCERA.org)
- Mass mailings
- Individual member correspondence
- County-wide email

The purpose of this document is to address the general correspondence with members and Plan Sponsors. It will cover all member communications that fall outside of the general counseling or workshops as well as any requirements that can be derived from current and desired processes for the future PAS system.

### 2 Roles

PAS Role Name	Definition
Systems and Procedures Analyst	Responsible for finalizing newsletters, updating the website, sending out mass mailings.
Account Clerks , Office Assistants and Retirement Coordinators	Responsible for mailing out forms and scanning and distributing correspondence, forms and applications.
Systems and Procedures Analyst and Assistant Retirement Administrator	Staff member responsible for preparing mass mailings, selecting topics for newsletter together with Benefits Program Manager and for overseeing assembly and publishing of final newsletter.
Retirement Benefits Manager and Retirement Coordinator Supervisor	Supervises Benefits Staff; responsible for newsletter topic selection together with Assistant Retirement Administrator.
Account Clerk Supervisor Benefits Team	Staff member responsible for handling member requests, buybacks, estimates, etc. while the member is an active or deferred member.  Team members responsible for preparing the final Benefit Estimate and for general individual correspondence with the member.
Retirement Coordinators and	Staff member responsible for carrying out correspondence though

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PAS Role Name	Definition
Supervisors	letters/emails regarding any issues or member inquiries for retired members or those that are about to retire.

## 3 Process Overview

### 3.1 Process Scope

The goal of the member correspondence process is to ensure that the members feel at ease to approach FCERA staff regarding any questions they might have about retirement and are updated and informed regarding their membership via different channels in a timely and accurate manner. Additionally, the goal is to ensure that members are made aware of any changes or issues that might affect their membership or retirement benefit.

#### 3.1.1 Member Correspondence


The scope for member correspondence includes

- Communication between the member and FCERA.
- Initiation of correspondence by FCERA or by the member
- Processing of correspondence by FCERA
- Retention of any member correspondence per FCERA policy.


The scope for this area also includes the templating of most of the general correspondence letters in the PAS as well as the automation of the generation of some correspondence triggered by certain events. This will result in staff having to spend less time on manual correspondence and will make correspondence between members and FCERA more efficient.

The main areas of correspondence that are currently relevant to FCERA are as follows:

- Individual correspondence between member and FCERA that is distributed via mail, email, phone or in-person including but not limited to:
  - Disability-related letters and correspondence
  - Option package and retirement-related correspondence
  - Seminar-related letters and correspondence
  - Correspondence concerning service credit purchase and re-deposits
  - DRO / Community Property-related letters and correspondence to all parties involved
  - Death-related correspondence including correspondence with the beneficiaries

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- Returned letters and correspondence
- Reciprocity correspondence with other retirement systems and members
- Any other individual correspondence initiated either by FCERA or by the member
- Mass Mailings distributed via mail or email, including but not limited to:
  - Reminder for retirement workshop
  - Notification of changes in policies
  - Board Elections
  - COLA Letters
  - Benefits statements
  - Financial annual report
- Newsletters distributed via mail, in-person, or via the website
- Major forms distributed via mail, email, the website or in-person including but not limited to:
  - Retirement Application:
    - Federal and State Tax Elections
    - Direct Deposit Forms
    - Beneficiary Changes
    - Retirement Contract / Options to be elected
  - Forms for Active Members:
    - Buyback / Re-Deposit Request Form
    - Buyback / Re-Deposit Contract
    - Estimate Request Form
    - Change of Address Form for members of Special Districts
    - Inter-System Membership Advice (ISMA)
    - Disposition of Retirement contributions form (includes Refunds, Rollovers, Deferring Membership and Reciprocity)
    - Retirement counseling checklist (includes information on who member counseled with, what the subject of the counseling session was, when it happened and it is something that is signed by the member)
  - Forms for Retired Members outside of the retirement application:
    - Federal and State Tax Withholding Elections
    - Direct Deposit Form / Change form
    - Name Changes / Change of Address Form
    - Beneficiary Changes
    - Trust for Beneficiary
    - Name Changes
  - Disability-related:
    - Counseling Acknowledgement Form

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- Disability Application
- Disability Hearing Procedures
- Timeline
- Death-related:
  - Claimant Statement
  - Continuance Form
- DRO / Community property related forms

## 3.2 Process Flow

### 3.2.1 Newsletters

Newsletters are generated quarterly and sent out to all members via mail. There is only one newsletter format and it is not customized for a specific target group, i.e. both retirees as well as active members will receive the same newsletter. The process of generating and distributing newsletters is described below:

Systems and Procedures Analyst collects articles from Staff and creates the newsletter.

Retirement Administrator and Assistant Retirement Administrator review and approve the newsletter.

Once the newsletter is ready for distribution, Systems and Procedures Analyst performs the following steps to generate the mailing list:

Active members:

- Use member's address from PSBiweekly import from County for County employees.
- Use member's address from PENSIONS for members of deferred / suspense status and Special Districts employees.

Retired Members:


- Use member's address from monthly Bank import file.

Combine active and retired files, and convert the file to excel to clean up data. i.e, to maintain consistency for abbreviations (apartment, space etc...). Convert text to all caps.

Systems and Procedures Analyst sends electronic files (newsletters in pdf and mailing labels) to Presort (a print and mail vendor) for mailing and also uploads the newsletter to the FCERA website at [www.FCERA.org](http://www.FCERA.org)

### 3.2.2 General Member Correspondence and Mass Mailings

The Retirement Coordinators and Supervisors might also send mail correspondence to the member. Sample letters with form fill are edited, reviewed, and finalized before the letters are signed and mailed.

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There are several processes required for both general member correspondences as well as for specific mass mailings that are relevant to FCERA – any specific processes for this type of correspondence are listed in this section.

### 3.2.3 Generic preparation for a mass mailing process

When a mass mailing to a specific group of members is necessary the following general preparation steps will happen:

- Identify the potential recipients.
- Draft letter.
- Determine if a window envelope for mailing label will be used. (Determines the layout of the letter and how files are saved to CD).
- Prepare address database.
- If personalized, merge address database with letter. Finalize letter. Convert to PDF. Save in groups of 300 pages. Copy to CD. Deliver to Third Party Vendor for printing and mailing.
- If non-personalized, finalize letter. Convert to PDF. Copy to CD with address label database. Deliver to Third Party Vendor for printing and mailing.

## 3.3 Key Business Rules

### 3.3.1 Newsletters


FCERA currently publishes newsletters once a quarter. The newsletter is distributed to the recipients mentioned above via several different channels. For all active members of the County, the newsletter is mailed to the most current address on record through PSBiweekly payroll import. Current addresses for Special Districts/Deferred/Suspense members are obtained from PENSIONS. Addresses for retirees are taken from the monthly Bank import. This list is generated quarterly for mail merge and/or labeling purposes. The new system must be able to support both mail merge features as well as the ability to print labels or prepare a data file for third party vendor to print the labels, for a selected group of people in the system (e.g. all retired members, all active members, etc.)

Additionally, the newsletter is published on the FCERA website. There are also several copies available at the reception area for walk-ins.

There is currently only one format of the newsletter for all members – i.e. there is no differentiation between active members or retired members. FCERA might consider changing this in the future.

The newsletter generally covers the following subject areas:

- Board Members
- Information on several options generally available to members – i.e. retirement options, general information on service credit purchase/re-deposits, etc. This might

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be in FAQ format in the future and might be included on the website as a separate section.

- Retirees' pay dates
- Investment updates
- Calendar
- Other announcements or information – e.g. the elections for board members, announcements of a new key staff member, etc.
- Legislation changes / information – e.g. Pension Protection Act, DROs, etc.
- Payment schedule
- Meet staff

### 3.3.2 Mass Mailings, Form letters and General correspondence

- Members might be included in a mass mailing for the following main purposes:
  - **COLA letter for retirees** (mailed once a year)
  - **Newsletter** (mailed quarterly)
  - **Notification of changes on policies** (mailed rarely) available on website and in the newsletter
  - **Reminder letters to members regarding upcoming retirement workshops** (mailed when the member registers for a retirement workshop)
  - **Mailings about upcoming Board Elections** to invite people to run for Board Positions or to mail out ballots. These mailing are sent specifically to the group for which the spot has opened up (e.g. retired, general or safety members) and FCERA will make arrangements with the County Elections division to mail out some of these mailings.


Generic template letters can be created for topics like service credit purchase, reciprocity, and benefits estimate requests.

Yearly Benefits Statements are generated for all active, suspense and deferred members of the County and Special Districts with their data as of December of previous year.

### 3.4 Areas of Concern/Risk and desired functionality for future PAS

The PAS must provide for the ability to store templates and form letters in the system and allow staff members to create a letter / correspondence based on stored templates from within the member's record. The output should result in a letter that has certain pre-defined form fields populated with the respective member's data (e.g. Name, Address) automatically. More specifically:



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The PAS must provide for the capability to generate letters / correspondence for a given member or a population of members.

The PAS must have the capability to automatically generate letters triggered by a specific event (e.g. retirement, enrollment, seminar enrollment, etc.) and to send it to the printer or via email.

The PAS must have the capability to route letters to EDMS if signatures are not required. This would eliminate the need to print out the letters and scan them manually.

The PAS system must be able to generate mass mailing letters based on specific constraints/parameters. The PAS should be able to store templates for mass mailing and populate pre-defined form fields with the respective member data from the selected population. For example, COLA letters should only be sent to retired members. Thus when sending mass mailing letters, the PAS should have different constraints and parameters based on categories such as member status, type of retirement plan, retirement date etc. This way the staff members will have the option to select the appropriate category of members who should be included in a specific mass mailing. The constraints and parameters should be configurable without the need for programming updates.

The new PAS must be flexible enough to allow changes and updates to general form letters / correspondence templates stored in the system for the generation of automated correspondence as part of an event with appropriate authorization/security. Changes and updates to existing templates should be possible without the need for a programming update.


The PAS must have the capability to track previous correspondence that has been generated and mailed out to a member. It must also provide for the ability to track any Benefit Estimates generated.

Currently a member handbook is given at employment orientation during the enrollment process and retired member handbook at retirement. Updates are mailed when a new handbook is published. For both scenarios (enrollment and retirement), the PAS must be able to store default form letters and should generate a welcome letter or a retirement confirmation letter for the respective member automatically as the last step in the respective process (i.e. as the last step of the enrollment process and as the last step of the retirement process).

The PAS must have the ability to store emails of members for future use, and mass mailings via email.

The PAS must have the ability to generate labels and label files for mass mailings.

In addition to providing updates to newsletters and general information (e.g. FAQs, changes in regulations, etc.), FCERA would also like to provide a customized web portal for its members. The new PAS must include a web member portal module that will allow members to log into a secure site and retrieve information on their own accounts online.

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### 3.5 Data Points

Member counseling and correspondence contain various forms and data as the forms are based on each member's individual case. Forms that the Retirement Coordinators use as a reference for counseling and correspondence can vary. A list of some of the common forms used is listed below.

#### 3.5.1 Currently used data and forms

Estimate request form

Service credit request form

Address changes/ beneficiary update form

Disposition of retirement contributions form

Retirement checklist: used to keep a record of which staff member counseled a particular member and what was discussed

See section 3.2.1 for list of member correspondence documents.

## 4 Analysis and Recommendation


FCERA communicates and corresponds with members several ways and the new PAS system needs to take the various distribution channels into consideration.

Using templates and automatically generating form letters triggered by an event will improve the workflow and staff productivity. The ability to review and update individual member correspondence and sampling the mass mailing will ensure quality.


Integration with EDMS saves time and work effort by storing the documents directly in EDMS rather than printing and scanning the documents.

## 5 Requirements


ReqID	Process	Requirement Detail	Priority
308.001	Member Correspondence	The PAS will provide the capability to support mail merge features to print labels.	1
308.002	Member Correspondence	The PAS will provide the capability to generate mailing lists and labels for mass mailings for selected groups of members (e.g. all retired members, all active members etc.).	1
308.003	Member Correspondence	The PAS will provide the capability to generate and combine addresses from different sources (County PSBiweekly, PAS, monthly Bank import).	1
308.004	Member Correspondence	The PAS will provide capability to keep consistency for abbreviations. (e.g., apartment, space etc).	2
308.005	Member	The PAS will provide the capability to prepare data files in txt,	2

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ReqID	Process	Requirement Detail	Priority
	Correspondence	excel, or other data formats for third party vendors to print labels.	
308.006	Member Correspondence	The PAS will provide the capability to create newsletters in multiple format and content to address the needs of different type of members.	3
308.007	Member Correspondence	The PAS will provide the capability to store templates and form letters.	2
308.008	Member Correspondence	The PAS will provide the capability to allow staff members to create letters / correspondence based on stored templates accessed from the member's record.	2
308.009	Member Correspondence	The PAS will provide the capability to have pre-defined form fields populated automatically with respective member's data (e.g. name, address) when creating letters / correspondence based on stored templates.	2
308.010	Member Correspondence	The PAS will provide the capability to generate letters / correspondence for a given member or a population of members	2
308.011	Member Correspondence	The PAS will provide the capability to automatically generate letters triggered by a specific event. (e.g. retirement, enrollment, seminar enrollment, etc.	2
308.012	Member Correspondence	The PAS will provide the capability to automatically generate letters and send to the printer, email or outgoing mail.	2
308.013	Member Correspondence	The PAS will provide the capability to route letters to EDMS if signatures are not required. This would eliminate the need to print out the letters and scan them manually.	2
308.014	Member Correspondence	The PAS will provide the capability to generate mass mailing letters / correspondence based on specific constraints / parameters that are configurable without the need for programming changes.	2
308.015	Member Correspondence	<p>The PAS will provide the capability to store templates for mass mailing and populate pre-defined form fields with the respective member data from the selected population.</p> <p>For example, COLA letters should only be sent to retired members. Thus when sending mass mailing letters, the PAS will have different constraints and parameters based on categories such as member status, type of retirement plan, retirement date etc.</p>	2
308.016	Member Correspondence	The PAS will provide the capability to allow changes and updates to system generated form letters / correspondence as part of an event based on appropriate authorization / security.	2
308.017	Member Correspondence	The PAS will provide the capability to change or update existing templates without the need for a programming change.	2
308.018	Member Correspondence	The PAS will provide the capability to track previous correspondence including benefit estimates that has been generated and mailed out to a member.	2
308.019	Member Correspondence	The PAS will provide the capability to generate a welcome letter or a retirement confirmation letter for the respective member automatically as the last step in the respective process (i.e. as the	2

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ReqID	Process	Requirement Detail	Priority
		last step of the enrollment process and as the last step of the retirement process).	
308.020	Member Correspondence	The PAS will provide the capability to store member's email id for future use and mass mailings via email.	2
308.021	Member Correspondence	The PAS will provide the capability to do selective reviews or sampling of mass mailings before the final acceptance.	2

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	Project: PENSION ADMINISTRATION SYSTEM	
	New Member Enrollment	

## 4.4.309 - New Member Enrollment

### 1 Overview

New Member Enrollment is the process by which new FCERA members are enrolled in the PAS system and their data is tracked at FCERA. Since members make retirement contributions and receive retirement service credit effective the first day of the pay period following the date of employment with a Plan Sponsor, it is important that membership enrollment happens in a timely manner and that data can be tracked and stored correctly.

Membership at FCERA begins upon appointment to a permanent position of at least 50% of full-time. This mandatory membership applies to employees of:

- Fresno County (including Courts)
- Special Districts:
  - Clovis Veterans Memorial
  - Fresno Mosquito and Vector Control District
  - Fresno-Madera Area Agency on Aging.

Newly hired employees of Fresno County and Special Districts who are age sixty or older at their date of hire may opt out of membership in FCERA within 30 days by filing a Waiver of Membership form with FCERA.

New and returning elected officials may "opt in" to the system, 30 days prior to taking office. Status of previous membership period determines the tier for rehired members for re-enrollment.


### 2 Roles

FCERA Role Name	Definition
Office Assistants	Receive and process enrollment cards for County of Fresno.
Retirement Coordinators	Receive and process enrollment cards for Special Districts, and manually enroll the member in PENSIONS.

### 3 Process Overview

#### 3.1 Process Goal

The goal of the New Member Enrollment process is to ensure that Membership is established and that contributions and retirement service are captured and tracked correctly in the system.

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### 3.2 Process Scope

New member enrollment starts upon the completion of FCERA Enrollment Card when appointed to a permanent position that qualifies for membership which is at least 50% of full-time.

### 3.3 Process Steps

#### Fresno County

Employees of the County of Fresno complete the enrollment card during new employee orientation. Office Assistants from FCERA attend the new employee orientation and collect the enrollment cards.

Enrollment data is included in the biweekly active payroll interface (PSBiweekly) and members are automatically enrolled in PENSIONS. The data included in the interface file is compared to the information provided by the member to ensure accuracy. If the member had a previous membership period then the retirement may need to be modified through Personnel.

Office Assistants verify reciprocity for County employees if indicated on Enrollment Card. For establishing reciprocity, refer to incoming reciprocity process in the reciprocity document.

Member folders are created and kept in the file room by Office Assistants.


FCERA is looking into having a portable scanner at the new employee orientation to scan supporting documents for the enrollment process. e.g., birth certificate

#### Special Districts

Employees of Special Districts complete the enrollment card at their respective personnel office and the Districts mail the enrollment cards and supporting documents to FCERA.

Retirement Coordinators process the enrollment for Special Districts with the following steps:

- Establish date of membership based on hire date.
- Establish contribution age rate based on membership date.
- Verify age rate calculation from Special District.
- Verify appropriate tier and classification.
- Verify reciprocity from enrollment card. If reciprocal member, follow process for incoming reciprocity.

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- Manually enroll member in PENSIONS.
  - Enter member information such as address and beneficiaries
  - Put the member in 'active' status
- Contact (phone call) Special District to start contribution deduction.
- Verify payroll file to confirm contribution amount.
- Create a member file with all supporting documents to keep in file room.

### **Reciprocal member enrollment**

See incoming reciprocity process.

## **3.4 Areas of Concern**

FCERA would like to have an Excel template to upload member enrollment data for Special Districts instead of manually keying in the data.

## **3.5 Key Business Rules**

### **3.5.1 New Member Information**

Effective date of membership is the first pay period following the date of employment.

If age 60 or older at date of hire, newly hired employees of Fresno County and Special Districts may opt out of membership in FCERA by filing a Waiver of Membership form.

- Waiver of membership is irrevocable.
- Waiver of membership must be filed within 30 days after the first payroll deduction for retirement contributions is taken from the payroll check.

### **3.5.2 Membership Eligibility rules**


Membership is mandatory upon appointment to a permanent position of at least 50% of full-time.

Elected officials may elect to “opt in” to the system.

Employees age 60 or older at date of hire may “opt out” of the system.

Effective date of membership is the first day of the pay period following the date of employment.



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Tier enrollment for rehired members is dependent upon the status of previous membership period.


FCERA has the following Membership Classifications:

1. Safety – those employees who are in positions in which the principal duties consist of either active law enforcement or active fire suppression. Following positions are included in safety classification:
  - a. Correction Officers (all classifications through Captain)
  - b. Criminologists (all classifications)
  - c. Deputy Sheriffs (all classifications)
  - d. Firefighters
  - e. Chief of Investigations (all classifications)
  - f. District Attorney Investigators (all classifications)
  - g. Sheriff (all classifications)
2. General - all employees not classified as Safety members.
3. Reciprocal members - incoming reciprocal members who have established membership with a reciprocal agency. See Reciprocity process.
4. Elected Officials - FCERA provides a letter and declaration form to elected officials of County of Fresno, 30 days prior to taking office. New and returning elected officials must return the completed form prior to first day in office. Returning members must opt in every four years.
5. Part-time - employees who work 49% or less of full-time are not eligible for membership. If they had membership before changing to part-time status, they may continue the membership based on previous status but not as current active contributing members.
6. Extra help - not eligible for membership. If they had membership previously, they may continue the membership based on previous status but not as current active contributing members.

Plan Sponsor, Fresno-Madera Area Agency on Aging (FMAAA) does not participate in social security integration. New PAS must accommodate for integration and non-integration with social security. Several prior plan sponsors also did not participate in Social Security. These prior plan sponsors have retired and deferred members in the system.

### **3.5.3 Reporting requirements**

FCERA provides status reports to the Board and need to have the option to create a report based on date range.

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### 3.5.4 Currently Used Forms and Reports

- Enrollment card – includes personal data as well as beneficiary information
- Evidence of birth – copy of birth certificate
- Marriage certificate – if married
- Waiver of membership Form – form to “opt out” membership for those over 60 years of age
- IRC 415 form – limitations on retirement benefits
- Letter to elected officials – requesting completed declaration to become member
- Letter to returning elected officials - requesting completed declaration to become member
- Intent to Establish Membership Form – Form submitted by elected officials to establish membership

## 4 Data Points


- PSBiweekly – Biweekly payroll transmittal file from Fresno County. See Payroll Import Processing for file layout.
- Payroll transmittal files from Special Districts – Currently do not exist but may consider in the future.

## 5 Analysis and Recommendation

FCERA currently has automatic enrollment of members only for County of Fresno. Members of Special Districts are manually enrolled. Special Districts have fewer employees than the County and have low personnel turnover rate. Therefore, they do not have payroll transmittal files to FCERA that contain new member information. Special Districts manually send the files to FCERA to enroll the members and FCERA staff manually enroll the members in PENSIONS.


FCERA is considering having an Excel template to upload new member data in the new PAS to speed up the enrollment process. This would also reduce data entry errors.

Integration with workflow and EDMS will greatly improve the enrollment process. Workflows and alerts to manage the process will reduce errors and facilitate better communication with members. Ability to store and retrieve supporting documents quickly and efficiently will improve staff productivity.


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## 6 Requirements


ReqID	Process	Requirement Detail	Priority
309.001	New Member Enrollment	<p>The PAS will provide the capability to restrict enrollment to regular full-time employees in specific job classifications.</p> <ol style="list-style-type: none"> <li>1) Safety- those employees who are in positions in which the principal duties consist of either active law enforcement or active fire suppression.</li> <li>2) General- all employees not classified as Safety members.</li> <li>3) Reciprocal members - incoming reciprocal members who have established membership with a reciprocal agency.</li> <li>4) Elected Officials - elected officials of County of Fresno. New and returning elected officials must establish membership.</li> </ol> <p>Membership at FCERA begins upon appointment to permanent position of at least 50% of full-time except for Elected Officials who must elect membership if desired.</p>	1
309.002	New Member Enrollment	<p>The PAS will provide the capability to start contributions for a new member based on user defined period.</p> <p>Currently the effective date of membership is the first day of the pay period following the date of employment.</p>	2
309.003	New Member Enrollment	The PAS will provide the capability to create new statuses without the need for programming updates.	2
309.004	New Member Enrollment	The PAS will provide the capability to update membership eligibility requirements without the need for programming updates.	2
309.005	New Member Enrollment	The PAS will provide the capability to accommodate social security integration.	2
309.006	New Member Enrollment	<p>The PAS will provide the capability (check box) to turn on/off social security integration.</p> <p>Currently Fresno-Madera Area Agency on Aging does not participate in social security integration nor do several prior active plan sponsors that still have deferred members.</p>	2
309.007	New Member Enrollment	<p>The PAS will provide the capability to assign a new date of membership for rehired employees who took a refund of their previous contributions.</p> <p>FCERA would like to track different hire dates and breaks in Service for a re-hires and reciprocal members.</p>	2
309.008	New Member Enrollment	<p>The PAS will provide the capability to retain previous tier level for rehires who left contributions on deposit.</p> <p>If a member is a previous FCERA member who did not receive a refund (i.e. a deferred member), he/she will retain the previous tier and will get a new hire date and possibly a new age.</p>	2
309.009	New Member Enrollment	The PAS will provide the capability to keep history of membership dates.	2

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ReqID	Process	Requirement Detail	Priority
309.010	New Member Enrollment	The PAS will provide the capability to assign a new hire date for rehired employees.	2
309.011	New Member Enrollment	The PAS will provide the capability to track multiple hire dates to record breaks in service properly. (i.e., store the initial hire date as well as the rehire date as a separate hire date).	2
309.012	New Member Enrollment	<p>The PAS will provide the capability to process re-deposits for rehires.</p> <p>If a member took refund on his/her contributions, a new hire date and a new date of membership will be entered.</p>	2
309.013	New Member Enrollment	<p>The PAS will provide the capability to process purchase of service for new hires that were extra help/part-time beforehand and who might be eligible to purchase some or all of that extra help/part-time time.</p> <p>New member enrollments for members who change their status from extra help/part-time to fulltime are processed in the same way as any new fulltime employee except that such members might be eligible to purchase the time they worked as an extra help/part time employee.</p>	2
309.014	New Member Enrollment	The PAS will provide the capability to classify employees as "Rehired"/ assign "Rehired" status to members during the enrollment process.	2
309.015	New Member Enrollment	<p>The PAS will provide the capability to create new member enrollment from payroll transmittal files.</p> <p>Fresno County sends new member enrollment information in PSBiweekly file.</p>	2
309.016	New Member Enrollment	The PAS will provide the capability to handle interface files from different payroll systems in different standard file formats (e.g. csv, excel, XML, etc.)	2
309.017	New Member Enrollment	The PAS will provide the capability to support automatic member enrollment for each of the interface files via a wizard interface.	2
309.018	New Member Enrollment	<p>The PAS will provide an Excel template to upload new member enrollment information for Special Districts.</p> <p>Currently enrollment for Special Districts is a manual process. FCERA would like to enter the new member information using Excel spreadsheet.</p>	2
309.019	New Member Enrollment	The PAS will provide the capability to report eligible new hires who appear in the payroll transmittal file.	2
309.020	New Member Enrollment	The PAS will provide the capability to report non-eligible new hires who appear in the payroll transmittal file based on status codes or scheduled hours.	2
309.021	New Member Enrollment	<p>The PAS will provide the capability to prompt staff if a particular member is new or has a schedule change and provide staff with a wizard interface to complete the enrollment steps.</p> <p>Regardless of the wizard interface, the PAS must have the ability to automatically create new member records based on data submitted from the payroll interface file.</p>	2

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ReqID	Process	Requirement Detail	Priority
309.022	New Member Enrollment	<p>The PAS will provide the capability to identify records contained in payroll transmittal files, for which there is a matching member record is found in the system.</p> <p>i.e., member already exists and the transmittal file import process will return an exception, and will allow posting records but providing the user with an exception report/activity report (see payroll import process) that will allow further review.</p>	2
309.023	New Member Enrollment	<p>The PAS will provide the capability to collect and store the following but not limited to:</p> <p><b><u>Employee Information:</u></b></p> <ul style="list-style-type: none"> <li>• Employee ID</li> <li>• Employee Name (First/MI/Last/Suffix)</li> <li>• Age for contributions</li> <li>• Employee Class</li> <li>• Contribution Rates</li> <li>• Amount of Contribution</li> <li>• Address</li> <li>• Social Security #</li> <li>• Date of Birth</li> <li>• Date Hired</li> <li>• Plan Sponsor</li> <li>• Total Service (including buybacks, reciprocal service, etc.)</li> <li>• Department</li> <li>• Position Title</li> <li>• Date of Membership</li> <li>• Date of Retirement</li> <li>• Tier</li> <li>• Plan</li> <li>• Range and Step</li> <li>• Class Code</li> <li>• Bargaining Unit</li> <li>• Dept. Number</li> <li>• Mo. Salary</li> <li>• Bi-Weekly Salary</li> <li>• Scheduled hours</li> <li>• Gender (M/F)</li> </ul> <p><b><u>Beneficiary Information:</u></b></p> <ul style="list-style-type: none"> <li>• Name #1, 2, 3</li> <li>• Date of Birth</li> <li>• Relationship</li> <li>• Percentage</li> <li>• Address</li> <li>• Date of Marriage</li> </ul>	1
309.024	New Member Enrollment	<p>The PAS will provide the capability to generate a New Member Report based on a date range that will give FCERA an overview of all new members enrolled in the system within the specified reporting period.</p>	2

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ReqID	Process	Requirement Detail	Priority
309.025	New Member Enrollment	<p>The PAS will provide the capability to generate a detailed report of all new member records created within a user-specified period, for a <i>specific Plan Sponsor</i>. This report must contain, but not be limited to:</p> <ul style="list-style-type: none"> <li>• Name</li> <li>• Date of Birth</li> <li>• SSN /EmployeeID / other ID Number</li> <li>• Plan / Tier</li> <li>• Contribution Rate</li> <li>• FTE Status (Scheduled hours)</li> <li>• Date of Hire</li> <li>• Date of Membership</li> <li>• Salary</li> <li>• Bargaining Unit</li> <li>• Job Class</li> <li>• Birth Date</li> <li>• Employer (i.e. County, Special Districts)</li> <li>• Department</li> <li>• Age for contributions</li> <li>• Tier</li> </ul>	2
309.026	New Member Enrollment	<p>The PAS will provide the capability to generate a detailed report of all members with data changes transmitted in a given payroll transmittal file, including, but not limited to:</p> <ul style="list-style-type: none"> <li>• Member Demographics</li> <li>• FTE Status (scheduled hours)</li> <li>• Member Status</li> <li>• Age of Entry</li> <li>• Date of Entry</li> <li>• Tier / Plan</li> <li>• Bargaining Unit</li> <li>• Age at Membership</li> </ul>	2
309.027	New Member Enrollment	The PAS will provide the capability to generate an exception report for new hires with \$0 contributions for staff to verify contributions.	2
309.028	New Member Enrollment	The PAS will provide the capability to create a new member enrollment report with information on status within the process (e.g., Member enrolled in PAS, Welcome letter sent, Missing Form, etc.)	2
309.029	New Member Enrollment	The PAS will provide the capability to implement a workflow process to record, track and report status of enrollment process steps.	2
309.030	New Member Enrollment	The PAS will provide the capability to create alerts or reminders for sending welcome packets or other correspondence.	2
309.031	New Member Enrollment	The PAS will provide the capability to generate an automated welcome letter for new members as well as address label files if the member is added via the transmittal file or manually.	2

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	<b>New Member Enrollment</b>	

<b>ReqID</b>	<b>Process</b>	<b>Requirement Detail</b>	<b>Priority</b>
309.032	New Member Enrollment	The PAS will provide the capability to restrict employees who are over 60 years of age and have submitted Waiver of Membership form within 30 days of membership to "opt out" of the system, to receive membership as waiver of membership is irrevocable.	2

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	Retirement Benefit Estimate	

## 4.4.500 – Retirement Benefit Estimate

### 1 Overview

The primary objective of the Benefit Estimate process is to aid the member in determining the optimal retirement date to maximize retirement benefits. Any active, deferred, or intersystem member of FCERA can request an estimate at any time.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who are responsible for day-to-day member support and processing.
FCERA staff	“Staff” at FCERA refers to non-managers. Retirement Coordinators are staff, along with many other roles.

### 3 Process Overview

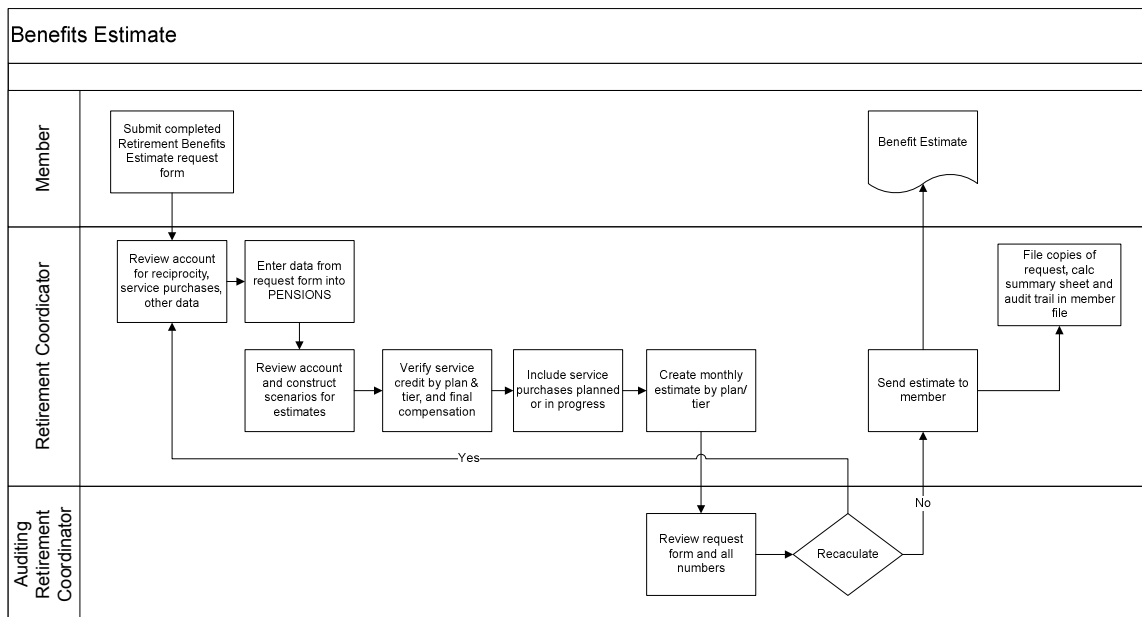
#### 3.1 Process Scope

The Benefit Estimate process starts when a member requests an estimate. Potential initiation points for producing an estimate include member counseling, e-mail contact, telephone contact, newsletters, and retirement seminars.

At FCERA, the benefit amount is calculated using four factors: Age, Service Credit, Tier, and Final Average Compensation. Determining Final Average Compensation is a prerequisite to calculating benefit estimates accurately.


#### 3.2 Process Flow





### 3.3 Process Steps

1. Retirement Coordinator receives completed Request for Retirement Benefits Estimate form.
2. Retirement Coordinator reviews the member's file to ensure accuracy and completeness. The Retirement Coordinator also verifies that all refunds and contributions have been recorded.
3. Retirement Coordinator reviews the member's account for scenarios that could affect the calculation: reciprocity, purchase of service, age, service credit by plan and tier, etc.
4. Retirement Coordinator enters data from the estimate request form into PENSIONS and produces a monthly benefit estimate (by plan/tier)
5. Retirement Coordinator verifies final compensation: see *Final Compensation* document for details.
6. Retirement Coordinator includes purchased service in the calculation of the final benefit amount. Members must elect to purchase service credit before they retire but they have up to four months after retirement to pay for it. The PAS will allow benefit option letters to be created for actual service (fully paid) and what-if service (available or in-progress).
7. Retirement Coordinator who has an audit role reviews the form and all numbers. If there is a problem with the calculations, the auditing Retirement Coordinator sends the estimate to original Retirement Coordinator to recalculate.

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8. Retirement Coordinator saves the estimate and sends the Estimate Letter to the member.

### 3.4 Areas of Concern

During the estimation process, FCERA needs to be able to show the member the impact of purchasing service credits prior to retirement. In PENSIONS, the Retirement Coordinator temporarily will mark the service credit purchase as paid to complete the final estimate. Then, the Retirement Coordinator will go back and unmark the paid status until the member has completed the payments. The new PAS will not require this temporary manipulation of the paid status on the member's record.

The new PAS will be able to provide the benefit estimate for DROs and multiple beneficiaries.

The new PAS will be able to save the benefit estimate for historical reference and delete the estimate when appropriate.

FCERA may choose to set up the retiree payroll records for the member prior to the final benefit amount being calculated, and begin paying the retiree. Corrections to the amount are often made after all final service purchases have been paid and documents have been received. It may take 120 days to settle on the final amount. Once the final amount is official, two to three payroll cycles may be required to correct the amounts before the payment amount becomes stable: one for the initial amount, one for the corrected amount plus adjustments, and one for the correct amount going forward.

The estimate presented to the member will contain a notice if the IRC415b limitation applies to the member.


All estimate calculations and final benefit amounts must be automated in the PAS, using the member's data, plus the business rules and rate tables particular to FCERA.

PENSIONS produces the benefit estimate letter in a Microsoft Word file. When a member asks for only one benefit option to be presented, FCERA manually edits the letter produced by PENSIONS so that only the requested option is shown. A new PAS will allow a Retirement Coordinator to choose whether to include all options in the estimate letter, or only the option(s) a member has requested.

Estimate Letters will state the assumptions used in generating the estimate. For example, if reciprocity exists it will be maintained. Likewise, if an individual chooses to continue working, the estimate text will state those assumptions. These assumptions will also be saved with the estimate data.

The benefit estimates function in the PAS will calculate service, final compensation, and age at retirement using the same rules as the benefit calculation engine, for all FCERA benefits and benefit/plan combinations.

The benefit estimates function needs to provide the following capabilities:

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1. Override of current benefit eligibility parameters for the purpose of projecting a future dated benefit. (A member may not be eligible for benefits at the time the estimate request is made).
2. Override of and/or manual entry of Purchase of service and Reciprocal service.
3. Projections for all non-present parameters based on a retirement date in the future.
4. Computed values of key parameters (such as service required or salary required) when a desired benefit amount is entered. This is sometimes called a “reverse calculator”.
5. Inclusion of multiple beneficiaries, along with their dates of birth, for the estimate calculation
6. Addition of standard disclaimer language to the estimates, which FCERA staff can modify when necessary.
7. Addition of a comment to the estimate.
8. Exclusion of SSNs from the printed estimate letter.
9. Storing the history of benefit estimates produced and along with a field that indicates the date of the last estimate produced.
10. Calculations for Temporary Annuity Option (TAO) for social security integration at age 62.

## 3.5 Key Business Rules

### 3.5.1 Maximum Benefit


The annual benefit amount is capped by IRC415b. See the IRC415b process document for details on this regulation.

### 3.5.2 Determining Final Benefit Amount

The final benefit amount cannot be established in the retiree payroll until FCERA has received all service purchase payments and all termination documents from the Plan Sponsor.

### 3.5.3 Options relevant to member

All benefits options relevant to the member are to be produced in the estimate, except when the member asks for only one option. The table below illustrates the relevance of the options to a member's situation.

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	Retirement Benefit Estimate	

	Unmodified Option	Option 1	Option 2	Option 3	Option 4
Member has no beneficiaries	X	X			
Member has only a spouse	X	X	X		
Member has a non-spouse beneficiary or 1 child beneficiary	X	X	X	X	
Member has more than one beneficiary, a marital dissolution, or special request					X

### 3.5.4 Calculating Final Allowance

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See the *Final Compensation* process document.

### 3.5.5 Benefit Tables

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Refer to the FCERA Active Member Handbook, available on [www.fcera.org](http://www.fcera.org), for examples of Benefit Tables. For the sake of illustration, these examples include only whole age and whole years of service. Complete Benefit Tables will be specified during project implementation.

### 3.5.6 Currently Used Forms and Reports

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Forms/Reports sent to Member:


- Estimate Letter

Forms/Reports used in the Process of creating estimate but not sent to member:

- Calc Audit Trail
- Calc Summary
- TAO Calculation
- TAO Interest Calculation
- Notice of Final Compensation Recalculation
- Salary verification for contribution adjustment
- Age Adjustment
- Notice of Final Compensation Recalculation
- Salary verification for contribution adjustment
- Age Adjustment

Received from Member:

- Request for Retirement Benefit Estimates
- IRC415b Calculations
- Social Security Estimate

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### 3.6 Data Points

FCERA Benefit Tables. These are not data interfaces, per se, but rather a set of lookup tables essential to calculating benefit amounts.

Currently entered:

1. Date of retirement
2. Salary override
3. Comments

## 4 Analysis & Recommendation


The benefit estimate capability within PENSIONS does not offer much flexibility in terms of user conveniences and multiple what-if estimations. As estimation functionality is a common computing application, a new PAS will be expected to use the member's data, plus FCERA business rules and Benefit tables resident in the PAS, as the starting point for creating an estimate. The Retirement Coordinator will alter one or more values and compute what-if scenarios that may optimize a member's benefit. Altered values will be saved with the estimate, but will not affect the member's permanent data.

“Reverse estimation” is also an expected feature. The member can state a desired monthly benefit amount at retirement. The PAS will then use the member's work history to derive combinations of age, service, and compensation that would allow the member to achieve the goal amount.


## 5 Requirements

The formal requirements for Benefits Estimates are shown below.


ReqID	Process	Requirement details	Priority
500.131	Benefit Estimates	The PAS will provide the capability to produce retirement Benefit Estimates.	1
500.132	Benefit Estimates	The PAS will provide the capability to produce death Benefit Estimates.	1
500.133	Benefit Estimates	The PAS will provide the capability to save Benefit Estimates, together with their assumptions and the date of the estimates, as data in the PAS for historical reference.	2
500.134	Benefit Estimates	The PAS will provide the capability to recall/view Benefit Estimates, together with their assumptions.	2
500.135	Benefit Estimates	The PAS will provide the capability to produce estimates at any time without affecting members' permanent data in the PAS.	2
500.136	Benefit Estimates	The PAS will provide the capability to produce estimates containing all benefit options pertinent to the member.	2
500.137	Benefit Estimates	The PAS will provide the capability to produce estimates containing only the option(s) requested by the member.	2
500.138	Benefit Estimates	The PAS will allow only those benefits options relevant to the member's situation to appear on the Benefit Estimate, per the	2

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	Retirement Benefit Estimate	

ReqID	Process	Requirement details	Priority
		<p>following rules:</p> <p>a) Member has no beneficiaries: Unmodified Option, or Option 1.</p> <p>b) Member has only a spouse: Unmodified Option, Option 1, or Option 2.</p> <p>c) Member has a non-spouse beneficiary or 1 child beneficiary: Unmodified Option, Option 1, Option 2, or Option 3.</p> <p>d) Member has more than one beneficiary, a marital dissolution, or special situation: Option 4 only.</p>	
500.139	Benefit Estimates	Without affecting the member's permanent data, the PAS will provide the capability to show the impact of purchasing service credits prior to retirement.	2
500.140	Benefit Estimates	The PAS will include a notice on the estimate if the IRC415b limitation applies to the member.	2
500.141	Benefit Estimates	The PAS will use member data, business rules, and benefit tables stored within the PAS database to calculate the content of the estimates.	2
500.142	Benefit Estimates	The PAS will provide the capability to delete benefit estimates.	2
500.143	Benefit Estimates	The PAS will provide the capability to include custom notes and comments on the benefit estimate.	2
500.144	Benefit Estimates	<p>The PAS will provide user-tailorable checklists, workflow, and/or other aids to ensure that all termination documents have been received prior to establishing the final benefit amount. The following are examples of required items:</p> <ul style="list-style-type: none"> <li>• County termination records</li> <li>• Termination of member in Peoplesoft</li> <li>• Annual/Sick Leave conversions</li> <li>• Final History Card</li> </ul>	2
500.145	Benefit Estimates	The PAS will provide the capability to include DROs in the benefit estimate calculation.	2
500.146	Benefit Estimates	The PAS will provide the capability to include multiple beneficiaries and their dates of birth in the benefit estimate calculation.	2
500.147	Benefit Estimates	The PAS will provide the capability to set up the retiree's payroll records based on a benefit estimate that was prepared before the benefit amount is finalized (i.e. before all termination records have been received from the Plan Sponsor).	2
500.148	Benefit Estimates	The PAS will provide the capability to override benefit eligibility when creating an estimate, without affecting the member's permanent data.	2
500.149	Benefit Estimates	The PAS will compute projected values in the benefit estimate based on known values provided as input.	2
500.150	Benefit Estimates	The PAS will compute service and/or salary given a desired benefit amount as input (i.e. reverse benefit calculator).	2
500.151	Benefit Estimates	The PAS will provide the capability to override or enter manually values for purchased service when creating an estimate, without affecting the member's permanent data.	2
500.152	Benefit Estimates	The PAS will provide the capability to override or enter manually values for reciprocal service when creating an estimate, without	2

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-500
	Project: PENSION ADMINISTRATION SYSTEM	
	Retirement Benefit Estimate	

ReqID	Process	Requirement details	Priority
		affecting the member's permanent data.	
500.153	Benefit Estimates	The PAS will provide the capability to include and save notes on the benefit estimate.	2
500.154	Benefit Estimates	The PAS will provide the capability to include calculations regarding Social Security integration at age 62 on the Benefit Estimate.	2
500.155	Benefit Estimates	The PAS will provide the capability to include calculations regarding the Temporary Annuity Option on the Benefit Estimate, when applicable.	2
500.156	Benefit Estimates	The PAS will provide the capability to produce and save the Estimate Letter containing the member's benefit estimate and the assumptions used to produce the estimate.	2
500.157	Benefit Estimates	The PAS will provide the capability to manually edit the content of the estimate letters to accommodate special circumstances.	2
500.158	Benefit Estimates	The PAS will provide the capability to include custom notes and comments on the Estimate Letter.	2
500.159	Benefit Estimates	The PAS will provide the capability to exclude SSNs from the Estimate Letter.	2
500.160	Benefit Estimates	The PAS will provide the capability to include any disclaimers on the Estimate Letter.	2
500.161	Benefit Estimates	The PAS will provide the capability to recall and view previously saved Estimate Letters.	2

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-500
	Project: PENSION ADMINISTRATION SYSTEM	
	Service Retirement Benefit Options	

## 4.4.500 Service Retirement Benefit Options

### 1 Overview

The objective of the Service Retirement Benefit Options process is to establish which service retirement benefit option the retiree has elected.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who are responsible for day-to-day member support and processing.
FCERA staff	“Staff” at FCERA refers to non-managers. Retirement Coordinators are staff, along with many other roles.

### 3 Process Overview

#### 3.1 Process Scope

The Retirement Benefit Options process occurs after the calculation of the Estimated Retirement Allowance and before payroll setup.


#### 3.2 Process Flow

There is no process flow diagram for this process.

#### 3.3 Process Steps

1. Retirement Coordinator recalls member's Estimated Retirement Allowance from the Estimates process.
2. Retirement Coordinator recalls verifications of beneficiaries, marriage or domestic partner registration from the New Retirement process.
3. Retirement Coordinator determines member's retirement option election based on the completed election from return by the member: Unmodified option or Option 1, 2, 3, or 4.



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	Service Retirement Benefit Options	

- Retirement Coordinator calculates retirement allowance per the option the member elected.

### 3.4 Areas of Concern

These rules must be built-in to the functionality of the PAS. Option 4 is a manual calculation that FCERA does not expect the PAS to provide.

The PAS must allow manual entry and override to accommodate special cases, such as when the spouse is not the beneficiary. It would be helpful if the PAS provided a check and reminder for a waiver when the spouse is not the beneficiary.


### 3.5 Key Business Rules

#### 3.5.1 Constraints that apply to all Retirement Options

- Retirement Options cannot be changed after the member receives the first benefit check, except for extenuating circumstances. Thus, the requirement to be able to override.
- Under certain circumstance, detailed below, the beneficiary eligible for a continuing benefit can be changed after the member's retirement.

#### 3.5.2 Unmodified Option

- Full retirement allowance
- A 60% continuing monthly benefit to the member's eligible spouse or registered domestic partner, if member was married for at least one year immediately preceding the member's retirement date or married for at least 2 years after retirement and the member's spouse or registered domestic partner is at least 55 years of age on the date of the member's death.
- A 100% continuing monthly benefit to the member's spouse or registered domestic partner, if the member is receiving a service-connected disability retirement allowance.
- If the member does not have a surviving spouse or registered domestic partner, or if the member's surviving spouse or registered domestic partner dies, the continuing monthly benefit will be paid collectively to the member's dependent children until the member's last child marries, reaches age 18 (age 22 if a full-time student in an accredited school) or dies, whichever comes first.
- If the member's spouse or registered domestic partner dies before the member or if the member does not have a spouse or registered domestic partner, or any dependent child (ren), a continuing monthly benefit is not available. This option then provides for a lump sum payment to the member's beneficiary or the member's estate of any balance remaining from the member's accumulated contributions less the sum of the actual total monthly retirement allowance payments received by the member before the member's death.

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	Service Retirement Benefit Options	

### 3.5.3 Option 1

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1. A reduced retirement allowance, as calculated by the actuary or the PAS.
2. A lump sum payment to the member's beneficiary of any balance remaining from the member's accumulated contributions less the sum of monthly annuity payments received by the member before the member's death.
3. An opportunity for the member to change his/her beneficiary after the member retires.

### 3.5.4 Option 2

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1. A reduced retirement allowance, as calculated by the Actuary or the PAS, and based upon the difference in age between the member and the member's beneficiary. The younger the member's beneficiary is in relation to the member, the larger the reduction to the member's benefit will be.
2. A 100% continuing monthly benefit to the member's beneficiary.
3. No opportunity to change the named beneficiary after the member's retirement should the member's beneficiary die before the member.

### 3.5.5 Option 3


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1. A reduced retirement allowance, as calculated by the Actuary or the PAS and based upon the difference in age between the member and the member's beneficiary. The younger the beneficiary is in relation to the member, the larger the reduction to the member's benefit will be.
2. A 50% continuing monthly benefit to the member's beneficiary.
3. No opportunity to change the named beneficiary after the member's retirement should the member's beneficiary die before the member.

### 3.5.6 Option 4

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1. An actuarial equivalent retirement benefit paid out in a method approved by the Board of Retirement.
2. "Basic Option 4" as defined by the Board of Retirement is one which provides equal continuing benefits to more than one beneficiary or is required in order to implement a court-approved Domestic Relations Order.
3. No reversion to the remaining beneficiaries should they predecease one another. "Basic Option 4" allows no reversion to the remaining beneficiaries should they predecease one another. A "Non-Basic Option 4" allows reversion should a beneficiary pre-decease other beneficiaries. "Non-Basic Option 4" also allows unequal continuing benefit percentages to each beneficiary
4. Election of the "Basic Option 4" benefit as defined above does not require additional approval by the Board of Retirement; however, any other retirement benefit option must be approved by the Board of Retirement.
5. No opportunity to change the named beneficiaries after the member's retirement should the member's beneficiaries die before the member.

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	Project: PENSION ADMINISTRATION SYSTEM	
	Service Retirement Benefit Options	

### 3.5.7 Currently Used Forms and Reports

Retirement Estimate

Retirement Options election form

### 3.6 Data Points

There are no data interface points for this process.

## 4 Analysis & Recommendation


By including the calculations for the various Retirement Options in the Estimates process, there is a distinct separation between preparing for retirement and retiring the member. Once the member has elected an Option and the form is returned to FCERA, this process starts. This process, then, includes the requirements to record the Option election and the benefit amount, plus the requirements to enforce the rules around benefits to survivor beneficiaries and changes after retirement.

The PAS should be expected to implement these rules given the member's election and provide a manual override capability to accommodate special circumstance.


## 5 Requirements

The formal requirements for Service Retirement Benefit Options are shown below. Note that the actual calculations for each Option, as described in the text above, are performed as part of the Estimates process. To avoid duplication of requirements, the details of those calculations are not included as formal requirements for this process.

ReqID	Process	Requirement details	Priority
500.091	Retirement Benefit Options	The PAS will provide the capability to determine the Service Retirement Benefit Options available to the retiring member.	1
500.092	Retirement Benefit Options	The PAS will allow only those Retirement Options that are appropriate to the member.	2
500.093	Retirement Benefit Options	The PAS will provide the capability to record the Option the member has chosen.	2
500.094	Retirement Benefit Options	The PAS will prevent changing the Option once the first benefit check has been issued, except in extenuating circumstances.	2
500.095	Retirement Benefit Options	The PAS will provide the capability to override the Option selected, to accommodate special circumstances.	2
500.096	Retirement Benefit Options	The PAS will provide the capability to record the final retirement benefit amount based on the Retirement Option that the member selected. The calculation of the benefit for	2

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-500
	Project: PENSION ADMINISTRATION SYSTEM	
	Service Retirement Benefit Options	

ReqID	Process	Requirement details	Priority
		the various Options is specified in the Estimates process.	
500.097	Retirement Benefit Options	<p>The PAS will enforce the following benefits and rules if a member has chosen the Unmodified Option:</p> <ol style="list-style-type: none"> <li>1. Full retirement allowance, as calculated in Estimates process</li> <li>2. A 60% continuing monthly benefit to the member's spouse or registered domestic partner, if member was married for at least one year immediately preceding the member's retirement date or married for at least 2 years after retirement and the member's spouse or registered domestic partner is at least 55 years of age on the date of the member's death.</li> <li>3. A 100% continuing monthly benefit to the member's spouse or registered domestic partner, if the member is receiving a service-connected disability retirement allowance.</li> <li>4. If the member does not have a surviving spouse or registered domestic partner, or if the member's surviving spouse or registered domestic partner dies, the continuing monthly benefit will be paid collectively to the member's dependent children until the member's last child marries, reaches age 18 (age 22 if a full-time student in an accredited school) or dies, whichever comes first.</li> <li>5. If the member's spouse or registered domestic partner dies before the member or if the member does not have a spouse or registered domestic partner, or any dependent child (ren), a continuing monthly benefit is not available. This option then provides for a lump sum payment to the member's beneficiary or the member's estate of any balance remaining from the member's accumulated contributions less the sum of the actual total monthly retirement allowance payments received by the member before the member's death.</li> </ol>	2
500.098	Retirement Benefit Options	<p>The PAS will enforce the following benefits and rules if the member has chosen <b>Option 1</b>.</p> <ol style="list-style-type: none"> <li>1. A reduced retirement allowance, as calculated by the Actuary or the Estimates Process.</li> <li>2. A lump sum payment to the member's beneficiary of any balance remaining from the member's accumulated contributions less the sum of monthly annuity payments received by the member before the member's death.</li> <li>3. An opportunity to change the named beneficiary after the member's retirement should the member's beneficiary die before the member.</li> </ol>	2
500.099	Retirement Benefit Options	<p>The PAS will enforce the following benefits and rules if the member has chosen <b>Option 2</b>:</p> <ol style="list-style-type: none"> <li>1. A reduced retirement allowance, as calculated by the Actuary or the Estimates Process and based upon the difference in age between the member and the member's beneficiary. The younger the member's beneficiary is in relation to the member, the larger the</li> </ol>	2

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-500
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ReqID	Process	Requirement details	Priority
		<p>reduction to the member's benefit will be.</p> <ol style="list-style-type: none"> <li>2. A 100% continuing monthly benefit to the member's beneficiary.</li> <li>3. No opportunity to change the named beneficiary after the member's retirement should the member's beneficiary die before the member.</li> </ol>	
500.100	Retirement Benefit Options	<p>The PAS will enforce the following benefits if the member has chosen <b>Option 3</b>:</p> <ol style="list-style-type: none"> <li>1. A reduced retirement allowance, as calculated by the Actuary or the Estimates Process and based upon the difference in age between the member and the member's beneficiary. The younger the beneficiary is in relation to the member, the larger the reduction to the member's benefit will be.</li> <li>2. A 50% continuing monthly benefit to the member's beneficiary.</li> <li>3. No opportunity to change the named beneficiary after the member's retirement should the member's beneficiary die before the member.</li> </ol>	2
500.101	Retirement Benefit Options	<p>The PAS will enforce the following benefits and rules if the member has chosen <b>Option 4</b>:</p> <ol style="list-style-type: none"> <li>1. An actuarial equivalent retirement benefit paid out in a method approved by the Board of Retirement.</li> <li>2. "Basic Option 4" as defined by the Board of Retirement is one which provides equal continuing benefits to more than one beneficiary or is required in order to implement a court-approved Domestic Relations Order.</li> <li>3. No reversion to the remaining beneficiaries should they predecease one another. "Basic Option 4" allows no reversion to the remaining beneficiaries should they predecease one another. A "Non-Basic Option 4" allows reversion should a beneficiary pre-decease other beneficiaries. "Non-Basic Option 4" also allows unequal continuing benefit percentages to each beneficiary</li> <li>4. Election of the "Basic Option 4" benefit as defined above does not require additional approval by the Board of Retirement; however, any other retirement benefit option must be approved by the Board of Retirement.</li> <li>5. No opportunity to change the named beneficiaries after the member's retirement should the member's beneficiaries die before the member.</li> </ol>	4
500.102	Retirement Benefit Options	<p>The PAS will issue a reminder for a waiver when the spouse is not the beneficiary.</p>	2

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	Project: PENSION ADMINISTRATION SYSTEM	
	Retirement Final Compensation	

## 4.4.500 Retirement Final Compensation

### 1 Overview

The objective of the Retirement Final Compensation process is to determine, for the purposes of benefit calculation, the member's Final Compensation (FC) while working.

The focus of this document is to outline the business rules and the information necessary to determine the Final Compensation component used in the calculation of the retirement benefit amount.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who are responsible for day-to-day member support and processing.
FCERA staff	"Staff" at FCERA refers to non-managers. Retirement Coordinators are staff, along with many other roles.

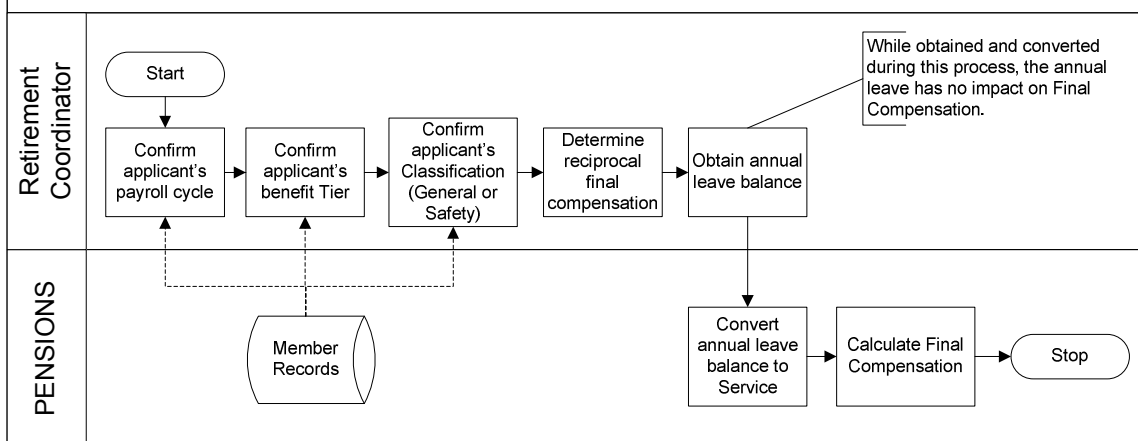
### 3 Process Overview

#### 3.1 Process Scope

The Final Compensation process starts after the Retirement Coordinator has confirmed date of retirement, reciprocity factors, eligibility, and the status of any service purchases. Members with service in multiple tiers may have two final compensation amounts calculated.


#### 3.2 Process Flow

## Retirement Final Compensation (Current)



### 3.3 Process Steps

1. Retirement Coordinator determines payroll cycle of applicant: bi-weekly, semi-monthly, or monthly.
2. Retirement Coordinator determines benefit Tier (I, II, or III) or Tiers of applicant
3. Retirement Coordinator determines whether applicant is a General Member or Safety Member. Although the member could have service in both classifications, classification has no impact on the calculation of Final Compensation.
4. Retirement Coordinator determines any reciprocal final compensation.
  - a. Retirement Coordinator sends an interagency form to reciprocal agencies requesting information about Final Compensation and the earn codes included in the Final Compensation for the member. FCERA evaluates the earn codes for inclusion in final compensation.
  - b. If FCERA recognizes the earn codes from the reciprocal employer as being includable in final compensation, then Retirement Coordinator uses the employer's definition of Compensation Earnable and the calculation of Final Compensation must be automated in the PAS.  
 If not, then Retirement Coordinator uses FCERA's definition of Compensation Earnable and performs a manual calculation of reciprocal final compensation. FCERA does not need these special cases automated in PAS.
5. Retirement Coordinator converts the member's remaining Leave balance after termination to Service when applicable. The Leave converted to Service has no impact on Final Compensation.

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	Retirement Final Compensation	

- a. The exact conversion formula depends on the member's Leave plan. There are many different Leave plans available depending on the employer and bargaining group.
  - b. Retirement Coordinator obtains the leave data from the employer (County or other plan sponsor). The member must terminate at the employer before FCERA can get the leave conversion information
  - c. Retirement Coordinator inputs into PENSIONS the leave hours to be converted
  - d. PENSIONS converts the hours to Service
6. PENSIONS calculates Final Compensation (see Key Business Rules below)

### 3.4 Areas of Concern

The PAS is expected to automate Final Compensation calculations reliably and accurately. These calculations are at the very heart of benefit determination.

FCERA maintains a list of pensionable Earn Codes outside of PENSIONS. PENSIONS holds only the gross amount received from the employers. FCERA obtains the detailed compensation information, including Earn Codes, by running queries in Peoplesoft or obtaining the details from the Plan Sponsor. There is legislation in process that may require FCERA to track compensation details more closely.


PENSIONS cannot produce Option 4 estimates for members with multiple beneficiaries or for DRO situations that lead to Option 4.

### 3.5 Key Business Rules

#### 3.5.1 Calculating Final Compensation

1. Upon death or retirement for service or disability, the Final Compensation used to determine the member's continuing benefits from FCERA will be based on the highest Compensation Earnable under any of the member's reciprocal systems, provided that the member retires concurrently from all reciprocal systems. Final Compensation is not used to determine the lump sum component of active deceased benefit.
2. If applicant is on **bi-weekly payroll**
  - a. Calculate Final Compensation using the 1-year algorithm as follows:  
For Tier I or II Safety and General members: determine the highest average Compensation Earnable during any 365-consecutive day period (26 pay periods plus 1 day (1/14<sup>th</sup> of a pay period)). The first pay period considered is determined by starting with the date of retirement and backing up one pay period. Generally, 27 pay periods will be examined; however, sometimes it will be 28 when the final pay period is not included in full in computing Final Compensation. Sometimes,



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	Retirement Final Compensation	

the single day will be included as part of the latest pay period and sometimes as part of the earliest pay period, depending on the salary history. The calculation is repeated until the highest consecutive period is identified.

Example:


Bi-weekly Salary		No. of Pay Periods		
\$2,611.00	Multiplied by	20	=	\$52,220.00
\$2,480.00	Multiplied by	6	=	\$14,880.00
\$2,480.00	Multiplied by	1/14	=	\$177.14
				-----
				\$67,277.14
	Divided by			12
				-----
		Final Compensation		\$5,606.43

If Tier III (General members only): determine the highest average Compensation Earnable during any three consecutive non-overlapping one-year periods. Although the pay periods within each one-year period must be consecutive, the three individual one-year periods need not be consecutive. The calculations are repeated until the highest periods are identified. Currently, Tier III is only available to employees of the County of Fresno. The example below assumes the three one-year periods are consecutive for ease of explaining:

Example:

Bi-weekly Salary		No. of Pay Periods		
\$2,611.00	Multiplied by	12	=	\$31,332.00
\$2,480.00	Multiplied by	26	=	64,480.00
\$2,356.00	Multiplied by	26	=	61,256.00
\$2,338.00	Multiplied by	14	=	32,732.00
\$2,338.00	Multiplied by	3/14	=	501.00
				-----
				\$190,301.00
	Divided by			36
				-----
		Final Compensation		\$5,286.14

### 3. If applicant is on **semi-monthly payroll**

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	Retirement Final Compensation	

Final Compensation is equal to the highest average Compensation Earnable during and 365-consecutive day period (24 pay periods). The calculations are repeated until the highest period is identified.

Example:

Semi-Monthly Salary		No. of Pay Periods		Amount
\$2,611.00	Multiplied by	18	=	\$46,998.00
\$2,480.00	Multiplied by	6	=	14,880.00
Divided by				12
Final Compensation				\$5,156.50

#### 4. If applicant is on **monthly payroll**

Final Compensation is equal to the highest average Compensation Earnable during and 365-consecutive day period (12 pay periods). The calculations are repeated until the highest period is identified.

Example:

Monthly Salary		No. of Pay Periods		Amount
\$5,222.00	Multiplied by	8	=	\$41,776.00
\$4,960.00	Multiplied by	4	=	19,840.00
Divided by				12
Final Compensation				\$5,134.67

### 3.5.2 Converting Hours to Service

Leave hours are converted to service using the following formula:

For **bi-weekly payroll** employees:  $[(\text{Hours} / 80) \times 14] / 360$

Note: FCERA is determining whether 360 is the correct divisor. Assume it is correct and realize it may change.

### 3.5.3 Other Rules

Extra Help employees create no impact in PAS unless the service is purchased. However, a record is generated for future use.

A member can purchase Earn Codes at the time of retirement, or at any time prior to retirement, to enhance the retiree's benefits. FCERA uses a Peoplesoft query to obtain all the Earn Codes the member has acquired through the member's career. The member can choose to purchase salary enhancement on those earn codes. If a purchase is desired, all available earn codes must be purchased.

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	Retirement Final Compensation	

Remaining Leave after termination must be converted to service, although it has no impact on Final Compensation.

### 3.5.4 Currently Used Forms and Reports

Interagency form sent to reciprocal agencies to request final compensation and Earn Code details for calculating Final Compensation.

### 3.6 Data Points

Remaining Leave Balance obtained from employer after termination.

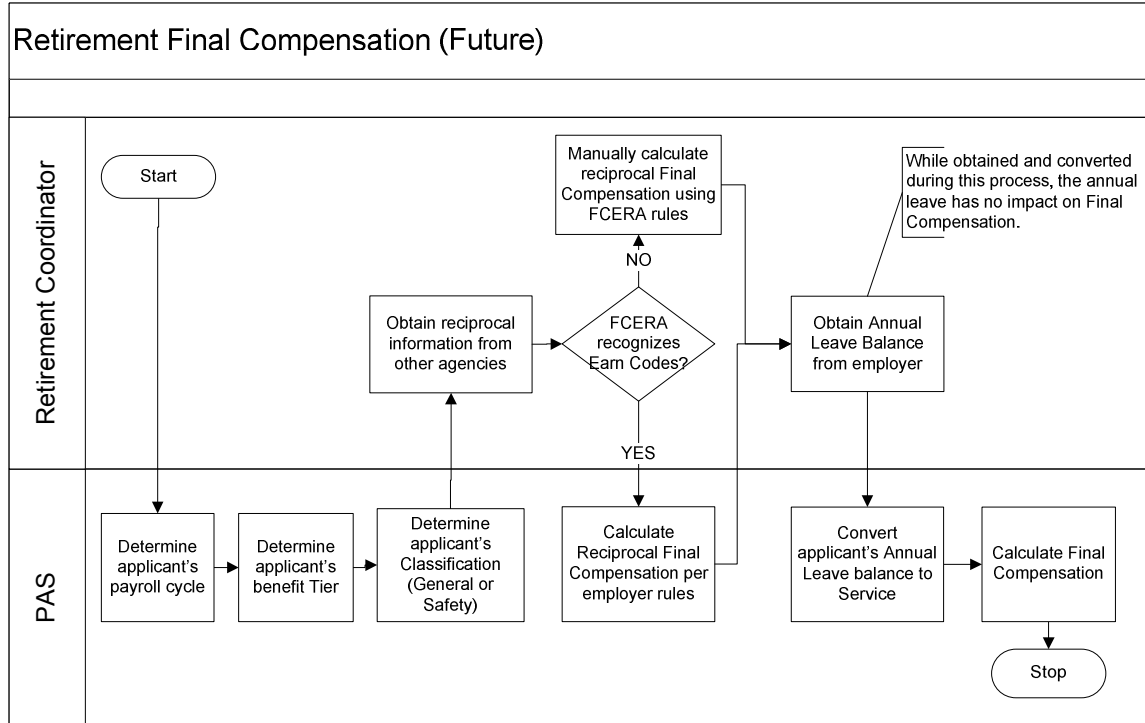
Future: Earn Code compensation details to be imported.

## 4 Analysis and Recommendation

As with any calculation process whose results drive other calculations, the goal for this process is to have automated, repeatable, auditable calculations in every situation. The new PAS at FCERA can achieve this level of automation by being more context-aware than PENSIONS, using information that is (or should be) already available in the PAS database.


The diagram below is a depiction of what Final Compensation calculation might look like in the future. Contrasting this diagram to the as-is diagram above, you will notice that only a few pieces of information are determined manually. All other information is in the PAS, obtained through other automated processes.

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	Project: PENSION ADMINISTRATION SYSTEM	
	Retirement Final Compensation	




## 5 Requirements


ReqID	Process	Requirement details	Priority
500.041	Retirement- Final Compensation	The PAS will provide the capability to automate Final Compensation calculations reliably and accurately.	1
500.042	Retirement- Final Compensation	The PAS will provide the capability to determine an applicant's payroll cycle for the purpose of calculating Final Compensation: bi-weekly, semi-monthly, or monthly.	2
500.043	Retirement- Final Compensation	The PAS will provide the capability to determine an applicant's benefit tier(s) for the purpose of calculating Final Compensation: Tier I, II, or III. An applicant may have service in multiple Tiers.	2
500.044	Retirement- Final Compensation	The PAS will provide the capability to determine an applicant's Classification: General or Safety. Although an applicant may have service in both classifications, classification has no impact on calculating Final Compensation.	2
500.045	Retirement- Final Compensation	An employment status of 'Extra Help' will have no impact to any calculations by the PAS.	2
500.046	Retirement- Final Compensation	The PAS will provide the capability for an applicant to purchase salary on qualifying Earn Codes to enhance Final Compensation calculation. (See Service Purchase process for details).	4
500.047	Retirement- Final Compensation	The PAS will provide the capability to automate the calculation of reciprocal final compensation using the reciprocal employer's definition of Compensation Earnable, for Earn Codes that are recognized by FCERA.	4

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-500
	Project: PENSION ADMINISTRATION SYSTEM	
	Retirement Final Compensation	


ReqID	Process	Requirement details	Priority																																													
500.048	Retirement- Final Compensation	The PAS will provide the capability to automate the calculation of reciprocal final compensation using the FCERA’s definition of Compensation Earnable, for Earn Codes that are NOT recognized by FCERA.	4																																													
500.049	Retirement- Final Compensation	The PAS will provide the capability to override automated final compensation calculations to accommodate special cases.	2																																													
500.050	Retirement- Final Compensation	The PAS will provide the capability to import and store compensation details by Earn Code from Plan Sponsors (pending legislation).	4																																													
500.051	Retirement- Final Compensation	Upon death or retirement for service or disability, the Final Compensation used to determine the member’s <u>continuing</u> benefits from FCERA will be based on the highest Compensation Earnable under any of the member’s reciprocal systems, provided that the member retires concurrently from all reciprocal systems, subject to limitations of recognized reciprocal Earn Codes.	2																																													
500.052	Retirement- Final Compensation	<p>The PAS will calculate Final Compensation for applicants on <b>bi-weekly payroll</b> as follows:</p> <p>For Tier I or II Safety and General members: determine the highest average Compensation Earnable during any 365-consecutive day period (26 pay periods plus 1 day (1/14<sup>th</sup> of a pay period)). The first pay period considered is determined by starting with the date of retirement and backing up one pay period. Generally, 27 pay periods will be examined; however, sometimes it will be 28 when the final pay period is not included in full in computing Final Compensation. Sometimes, the single day will be included as part of the latest pay period and sometimes as part of the earliest pay period, depending on the salary history. The calculation is repeated until the highest series is identified. The highest series might not be the final year of service.</p> <p>Example:</p> <table><tr><td>Bi-weekly Salary</td><td></td><td>No. of Pay Periods</td><td></td><td></td></tr><tr><td>\$2,611.00</td><td>Multiplied by</td><td>20</td><td>=</td><td>\$52,220.00</td></tr><tr><td>\$2,480.00</td><td>Multiplied by</td><td>6</td><td>=</td><td>\$14,880.00</td></tr><tr><td>\$2,480.00</td><td>Multiplied by</td><td>1/14</td><td>=</td><td>\$177.14</td></tr><tr><td></td><td></td><td></td><td></td><td>-----</td></tr><tr><td></td><td></td><td></td><td></td><td>\$67,277.14</td></tr><tr><td></td><td>Divided by</td><td></td><td></td><td>12</td></tr><tr><td></td><td></td><td></td><td></td><td>-----</td></tr><tr><td></td><td>Final Compensation</td><td></td><td></td><td>\$5,606.43</td></tr></table> <p>If Tier III (General members only): determine the highest</p>	Bi-weekly Salary		No. of Pay Periods			\$2,611.00	Multiplied by	20	=	\$52,220.00	\$2,480.00	Multiplied by	6	=	\$14,880.00	\$2,480.00	Multiplied by	1/14	=	\$177.14					-----					\$67,277.14		Divided by			12					-----		Final Compensation			\$5,606.43	2/3
Bi-weekly Salary		No. of Pay Periods																																														
\$2,611.00	Multiplied by	20	=	\$52,220.00																																												
\$2,480.00	Multiplied by	6	=	\$14,880.00																																												
\$2,480.00	Multiplied by	1/14	=	\$177.14																																												
				-----																																												
				\$67,277.14																																												
	Divided by			12																																												
				-----																																												
	Final Compensation			\$5,606.43																																												

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-500
	Project: PENSION ADMINISTRATION SYSTEM	
	Retirement Final Compensation	

ReqID	Process	Requirement details	Priority																																																							
		<p>average Compensation Earnable during any three consecutive non-overlapping one-year periods. Although the pay periods within each one-year period must be consecutive, the three individual one-year periods need not be consecutive. The calculation is repeated until the highest series is identified. The highest series might not be the final year of service. The example below assumes the three one-year periods are consecutive for ease of explaining:</p> <p>Example:</p> <table><tr><th>Bi-weekly Salary</th><th></th><th>No. of Pay Periods</th><th></th><th></th></tr><tr><td>\$2,611.00</td><td>Multiplied by</td><td>12</td><td>=</td><td>\$31,332.00</td></tr><tr><td>\$2,480.00</td><td>Multiplied by</td><td>26</td><td>=</td><td>64,480.00</td></tr><tr><td>\$2,356.00</td><td>Multiplied by</td><td>26</td><td>=</td><td>61,256.00</td></tr><tr><td>\$2,338.00</td><td>Multiplied by</td><td>14</td><td>=</td><td>32,732.00</td></tr><tr><td>\$2,338.00</td><td>Multiplied by</td><td>3/14</td><td>=</td><td>501.00</td></tr><tr><td></td><td></td><td></td><td></td><td>-----</td></tr><tr><td></td><td></td><td></td><td></td><td>\$190,301.00</td></tr><tr><td></td><td>Divided by</td><td></td><td></td><td>36</td></tr><tr><td></td><td></td><td></td><td></td><td>-----</td></tr><tr><td></td><td>Final Compensation</td><td></td><td></td><td>\$5,286.14</td></tr></table>	Bi-weekly Salary		No. of Pay Periods			\$2,611.00	Multiplied by	12	=	\$31,332.00	\$2,480.00	Multiplied by	26	=	64,480.00	\$2,356.00	Multiplied by	26	=	61,256.00	\$2,338.00	Multiplied by	14	=	32,732.00	\$2,338.00	Multiplied by	3/14	=	501.00					-----					\$190,301.00		Divided by			36					-----		Final Compensation			\$5,286.14	
Bi-weekly Salary		No. of Pay Periods																																																								
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	Divided by			36																																																						
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	Final Compensation			\$5,286.14																																																						
500.053	Retirement- Final Compensation	<p>The PAS will calculate Final Compensation for applicants on <b>semi-monthly payroll</b> as follows: Final Compensation is equal to the highest average Compensation Earnable during any 365-consecutive day period (24 pay periods). The calculation is repeated until the highest series is identified. The highest series might not be the final year of service.</p> <p>Example:</p> <table><tr><th>Semi-Monthly Salary</th><th></th><th>No. of Pay Periods</th><th></th><th>Amount</th></tr><tr><td>\$2,611.00</td><td>Multiplied by</td><td>18</td><td>=</td><td>\$46,998.00</td></tr><tr><td>\$2,480.00</td><td>Multiplied by</td><td>6</td><td>=</td><td>14,880.00</td></tr><tr><td colspan="4">Divided by</td><td>12</td></tr><tr><td colspan="4">Final Compensation</td><td>\$5,156.50</td></tr></table>	Semi-Monthly Salary		No. of Pay Periods		Amount	\$2,611.00	Multiplied by	18	=	\$46,998.00	\$2,480.00	Multiplied by	6	=	14,880.00	Divided by				12	Final Compensation				\$5,156.50	2																														
Semi-Monthly Salary		No. of Pay Periods		Amount																																																						
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Divided by				12																																																						
Final Compensation				\$5,156.50																																																						
500.054	Retirement- Final Compensation	<p>The PAS will calculate Final Compensation for applicants on <b>monthly payroll</b> as follows:</p>	2																																																							

	<b>FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION</b>	<b>FCERA-PAS-REQ-500</b>
	<b>Project: PENSION ADMINISTRATION SYSTEM</b>	
	<b>Retirement Final Compensation</b>	

ReqID	Process	Requirement details	Priority																									
		<p>Final Compensation is equal to the highest average Compensation Earnable during any 365-consecutive day period (12 pay periods). The calculation is repeated until the highest series is identified. The highest series might not be the final year of service.</p> <p>Example:</p> <table><tr><td>Monthly Salary</td><td></td><td>No. of Pay Periods</td><td></td><td>Amount</td></tr><tr><td>\$5,222.00</td><td>Multiplied by</td><td>8</td><td>=</td><td>\$41,776.00</td></tr><tr><td>\$4,960.00</td><td>Multiplied by</td><td>4</td><td>=</td><td>19,840.00</td></tr><tr><td colspan="4">Divided by</td><td>12</td></tr><tr><td colspan="4">Final Compensation</td><td>\$5,134.67</td></tr></table>	Monthly Salary		No. of Pay Periods		Amount	\$5,222.00	Multiplied by	8	=	\$41,776.00	\$4,960.00	Multiplied by	4	=	19,840.00	Divided by				12	Final Compensation				\$5,134.67	
Monthly Salary		No. of Pay Periods		Amount																								
\$5,222.00	Multiplied by	8	=	\$41,776.00																								
\$4,960.00	Multiplied by	4	=	19,840.00																								
Divided by				12																								
Final Compensation				\$5,134.67																								
500.055	Retirement- Final Compensation	The PAS will provide the capability to convert remaining Leave hours to Service. FCERA obtains the number of hours to be converted from the Plan Sponsor. FCERA will input the number of hours into the PAS for conversion. The Leave converted to Service has no impact on the calculation of Final Compensation.	2																									

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-500
	Project: PENSION ADMINISTRATION SYSTEM	
	Retirement Health Benefit	

## 4.4.500 Retirement Health Benefit

### 1 Overview

The primary objective of Retiree Health Benefit process is to provide an additional cash benefit paid by FCERA, with the expectation (but not the requirement) that the funds are used to offset the cost of the retiree's health insurance.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who are responsible for day-to-day member support and processing.
FCERA staff	"Staff" at FCERA refers to non-managers. Retirement Coordinators are staff, along with many other roles.
Board of Retirement	The executive decision-making body for FCERA, comprised of FCERA's executive Retirement Administrator plus individuals from outside FCERA

### 3 Process Overview

#### 3.1 Process Scope

The Retiree Health Benefits process is part of the retirement benefits calculation.

#### 3.2 Process Flow

There is no diagram for this process.

#### 3.3 Process Steps

1. Retirement Coordinator determines if Non-Vested Health Benefit is available at the current time
2. Retirement Coordinator determines member's date of membership with FCERA
3. Retirement Coordinator determines member's years of qualifying service
4. Retirement Coordinator determines member's non-vested Health Benefit



	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-500
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	Retirement Health Benefit	

5. Retirement Coordinator determines member's Health Benefit Settlement Amount (vested health benefits)

### 3.4 Areas of Concern

Service credit is counted differently for the non-vested health benefit than for retirement eligibility. Non-vested health benefit and Health Benefit Settlement Amount excludes prior public service, reciprocity, and golden handshake service credit in the calculation.

There are two different benefit calculations for non-vested health benefit. The member's date of membership determines which calculation to use. The original date of membership is used if the member terminated and left contributions on deposit or if the member re-deposited withdrawn funds.

FCERA needs to update the rates for both types of health benefits periodically within the PAS.

The non-vested Health Benefit is subject to adoption and funding by the Board of Retirement and may be modified or eliminated by the Board of Retirement at any time.


### 3.5 Key Business Rules

#### 3.5.1 Calculating Non-Vested Health Benefit

1. The maximum benefit is currently \$150 per month for members with 30 years of qualifying service.
2. If date of membership with FCERA is prior to January 1, 1990, the benefit is calculated as: \$45.00 per month base amount, plus \$3.50 for every completed full year of service, to a maximum of thirty years of service (excluding any reciprocity, public service credit purchased, and/or golden handshakes granted by the member's employer). The minimum benefit is \$45 per member and can be apportioned to alternate payees and or beneficiaries.
3. If date of membership with FCERA is January 1, 1990 or after, the benefit is calculated as: \$5.00 for every completed full year of service, to a maximum of thirty years of service (excluding any reciprocity, public service credit purchased and/or golden handshakes granted by the member's employer). The minimum benefit is \$5 per member and can be apportioned to alternate payees and beneficiaries.
4. The non-vested health benefit is available to all members at retirement. The benefit extends to alternate payees as community property and continuances. The continuance is calculated at 100% of the benefit regardless of the option taken.

#### 3.5.2 Calculating Settlement Health Benefit (vested Health Benefit)

Effective with the Settlement Agreement signed in December 2000, an additional health benefit is provided as established by the Agreement. The benefit is currently \$3.00 per full year of service for all retirees (excluding any reciprocity, public service credit

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-500
	Project: PENSION ADMINISTRATION SYSTEM	
	Retirement Health Benefit	

purchased and/or golden handshakes granted by the member's employer), up to a maximum of 30 years of service or \$90 per month.

### 3.5.3 Currently Used Forms and Reports

There are no forms or reports particular to calculating the vested or non-vested Health Benefit.

### 3.6 Data Points

There are no data integrations points used for calculating the vested or non-vested Health Benefit.

## 4 Analysis & Recommendation


As with all calculations, automation is the key to being repeatable and auditable. Calculating the vested and non-vested Health Benefit amounts for retirees is no different with regards to automation. Further, these benefits are an example where a PAS being context-aware is appropriate: when the benefit is available to the retiree, the PAS should calculate it automatically and provide a field to contain the value. When the benefit is not available, the calculation and the field should be disabled.

The PAS should treat these two benefits as additional elements to the retiree's benefit package, listing them separately on calculation screens and estimates.

## 5 Requirements

The formal requirements for vested and non-vested Health Benefits for retirees are listed below.


ReqID	Process	Requirement details	Priority
500.061	Retirement Health Benefit	The PAS will provide the capability to calculate the Non-vested Health Benefit amount for the retiring member.	1
500.062	Retirement Health Benefit	The PAS will provide a system-wide true/false setting that indicates if the Non-vested Health Benefit is available.	2
500.063	Retirement Health Benefit	The PAS will provide a data range setting to indicate the time period the Non-vested Health Benefit is available.	4
500.064	Retirement Health Benefit	When the Non-vested Health Benefit is available, the PAS will provide a field on the screen to hold the amount of the benefit for the retiring member.	2
500.065	Retirement Health Benefit	When the Non-vested Health Benefit is not available, the PAS will disable the field on the screen and display the default value of \$0.00	2
500.066	Retirement Health Benefit	The PAS will provide the capability to update a system-wide base amount, rate, and/or maximums used in calculating the Non-vested Health Benefit amount.	2
500.067	Retirement Health	The PAS will exclude prior public service, reciprocal	2

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-500
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	Retirement Health Benefit	

ReqID	Process	Requirement details	Priority
	Benefit	service, and golden handshake service credit from the member's Service when calculating the Non-vested Health Benefit amount.	
500.068	Retirement Health Benefit	<p>The PAS will calculate the non-vested Health Benefit as follows:</p> <ol style="list-style-type: none"> <li>1. The maximum benefit is currently \$150 per month for members with 30 years of qualifying service.</li> <li>2. If date of membership with FCERA is prior to January 1, 1990, the benefit is calculated as: \$45.00 per month base amount, plus \$3.50 for every completed full year of service, to a maximum of thirty years of service (excluding any reciprocity, public service credit purchased, and/or golden handshakes granted by the member's employer). The minimum benefit available to the member is \$45 per month and can be apportioned to alternate payees and beneficiaries.</li> <li>3. If date of membership with FCERA is January 1, 1990 or after, the benefit is calculated as: \$5.00 for every completed full year of service, to a maximum of thirty years of service (excluding any reciprocity, public service credit purchased and/or golden handshakes granted by the member's employer). The minimum benefit available to the member is \$5 per month and can be apportioned to alternate payees and beneficiaries.</li> <li>4. The non-vested health benefit is available to all members at retirement. The benefit extends to alternate payees as community property and continuances. The continuance is calculated at 100% of the benefit regardless of the option taken and is subject to apportionment to alternate payees and beneficiaries.</li> </ol>	3
500.069	Retirement Health Benefit	The PAS will provide the capability to override the availability setting and/or date range during which the Non-vested Health Benefit is available.	4
500.070	Retirement Health Benefit	The PAS will provide the capability to override the amount calculated for the non-vested Health Benefit.	2
500.071	Retirement Health Benefit	The PAS will provide the capability to calculate the Vested Health Benefit amount.	1
500.072	Retirement Health Benefit	The PAS will provide a system-wide true/false setting that indicates if the Vested Health Benefit is available.	2
500.073	Retirement Health Benefit	The PAS will provide a data range setting to indicate the time period the Vested Health Benefit is available.	4
500.074	Retirement Health Benefit	When the Vested Health Benefit is available, the PAS will provide a field on the screen to hold the amount of the benefit for the retiring member.	2
500.075	Retirement Health Benefit	When the Vested Health Benefit is not available, the PAS will disable the field on the screen and display the default value of \$0.00	2
500.076	Retirement Health Benefit	The PAS will provide the capability to update a system-wide base amount, rate, and/or maximums used in calculating the Vested Health Benefit amount.	2
500.077	Retirement Health Benefit	The PAS will exclude prior public service, reciprocal service, and golden handshake service credit from the	2

	<b>FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION</b>	<b>FCERA-PAS-REQ-500</b>
	<b>Project: PENSION ADMINISTRATION SYSTEM</b>	
	<b>Retirement Health Benefit</b>	

<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
		member's Service when calculating the Vested Health Benefit amount.	
500.078	Retirement Health Benefit	The PAS will calculate the vested Health Benefit (also called Settlement Health Benefit) as \$3.00 per full year of service for all retirees (excluding any reciprocity, public service credit purchased and/or golden handshakes granted by the member's employer), up to a maximum of 30 years of service or \$90 per month. The minimum benefit is \$0 per month.	2
500.079	Retirement Health Benefit	The PAS will provide the capability to override the amount calculated for vested Health Benefit.	2
500.080	Retirement Health Benefit	The vested health benefit is available to all members at retirement. The benefit extends to alternate payees as community property and continuances. The continuance is calculated at 100% of the benefit regardless of the option taken and is subject to apportionment to alternate payees and beneficiaries.	2

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-500
	Project: PENSION ADMINISTRATION SYSTEM	
	New Retirement	

## 4.4.500 New Retirement

### 1 Overview

The primary objective of the New Retirement setup process is to guide an active or deferred member of FCERA through retirement and to set up that person to begin receiving a benefit payment.

This document addresses the business rules and information that are part of the general benefit setup process. Other process documents will address the benefit calculation, such as payment options, domestic partnership rules, and tax exclusions.

### 2 Roles

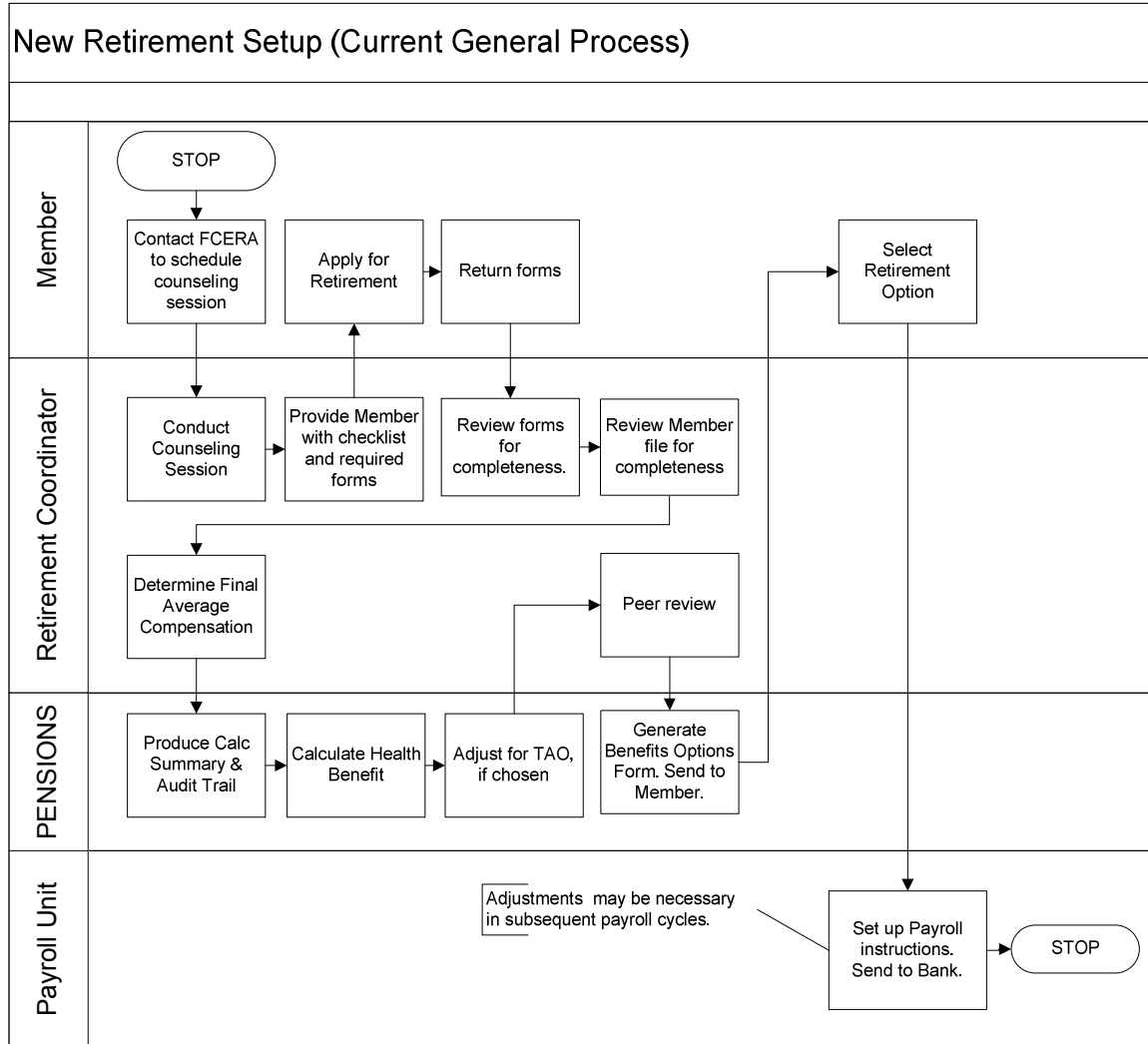
PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who are responsible for day-to-day member support and processing.
FCERA staff	“Staff” at FCERA refers to non-managers. Retirement Coordinators are staff, along with many other roles.
Board of Retirement	The executive decision-making body for FCERA, comprised of FCERA’s executive Retirement Administrator plus individuals from outside FCERA
Payroll Unit	The group of individuals at FCERA who are responsible for coordinating payment instructions to the Bank.

### 3 Process Overview

#### 3.1 Process Scope

The New Retirement process starts with the member notifying FCERA of intent to retire, and continues through the placement of the member on FCERA’s retirement payroll at the Bank.

#### 3.2 Current Process Flow



### 3.3 Process Steps

#### 3.3.1 Basic Steps

1. Before a member files an application for service retirement, the member may wish to make an appointment with FCERA to discuss retirement planning and receive an estimate of retirement benefits. To ensure that the member receives timely payment of retirement benefits, the member should contact FCERA at least sixty days prior to the date that the member anticipates retirement benefits to begin. The application cannot be signed more than sixty days prior to the date of retirement.
2. The member is assigned to a Retirement Coordinator when the member schedules an appointment to discuss retirement.

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	Project: PENSION ADMINISTRATION SYSTEM	
	New Retirement	

3. The member applies for retirement and has a counseling session. Retirement Coordinator provides the member with a checklist and the forms that the member needs to complete and return to FCERA.
4. The member completes and returns forms to Retirement Coordinator.
5. The application is reviewed by the Retirement Coordinator for completeness.

### 3.3.2 Steps for a case with no exceptions

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1. The Retirement Coordinator checks reciprocity, date of retirement, determines if there is a service credit purchase in process, and confirms eligibility (the Retirement Coordinator does a complete file review).
2. The Retirement Coordinator checks the most recent active payroll, performs a service audit, checks on pay elements as needed, verifies final pay, identifies Final Compensation, and calculates Final Average Compensation (see the *Final Compensation* process document for details on this).
3. The Retirement Coordinator verifies service and PENSIONS calculates service for multiple plans and/or Tiers, if necessary. The Retirement Coordinator verifies the member's information, entering what is not complete.
  - a. Birth date
  - b. Age factor is calculated in PENSIONS
  - c. Date of retirement
  - d. Final Compensation (per plan/tier)
  - e. Service (per plan/tier)
  - f. Date of membership
  - g. If spouse, spouse name and birth date (might have to enter this)
  - h. Contributions, nontaxable (post tax, after tax) and regular (taxable)
  - i. COLA adjustments
  - j. Name and address of member
  - k. Type of retirement (Service, Disability, Death)
  - l. Beneficiary type/relationship (Spouse, Minor child, Other, None), plus verification of beneficiary age, marriage, and registration of domestic partnership
  - m. Tier and classification (General or Safety)
  - n. Estimated Social Security benefit
  - o. Temporary Annuity option
  - p. Reciprocity. Reciprocal service is used to establish eligibility and allows FCERA to use certain compensation items from the reciprocal employer to determine Compensation Earnable.

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	New Retirement	

4. PENSIONS produces a Calculation Summary report and the member's Audit Trail. The Retirement Coordinator reviews the benefits Calculation Summary and Audit Trail. For split tiers, the Audit Trail will show two or more calculations.
5. PENSIONS calculates the non-vested and vested Health Benefit available to the member (see RetireHealthBenefit process document for details)
6. PENSIONS adjusts the Retirement Allowance for the Temporary Annuity amount, if the member elected the Temporary Annuity option. (see RetireTempAnnuityOption process document)
7. Another Retirement Coordinator performs a peer review
8. PENSIONS generates the Benefit Options Form showing the options that the member can elect for retirement (see RetireBenefitOptions).
9. Options Form is mailed to member with a cover letter
10. Member selects desired Option and sends the form back to FCERA Retirement Coordinator
11. All required documents must be in member's file prior to pay information going into retiree payroll
12. The Retirement Coordinator or Account Clerk creates an Excel-based payroll file for this member. Any retroactive payments are included in the first month payment.
13. Another Retirement Coordinator performs a peer review
14. Retirement Coordinator forwards the monthly payment information in the Excel spreadsheet to FCERA's internal payroll unit, who takes the process from this point forward to retiree payroll at the Bank. The information in the file includes address, tax withholding options, direct deposit information, deductions, and other pay information.
15. Later, it is possible that a payroll adjustment will be needed to true-up any changes due to receiving final pay-related information from Plan Sponsor. Completing this adjustment may involve 3 payroll cycles:
  - a. the initial cycle (the initial payment is usually lower than it should be)
  - b. the correct pay amount plus the adjustment
  - c. the continuing correct pay amount

### 3.4 Areas of Concern

PAS system will produce estimates forms in Microsoft Word files, which will be editable by FCERA staff for special circumstances and corrections.

In addition to service credit and age, there is an alternate calculation for confirming retirement eligibility.



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	Project: PENSION ADMINISTRATION SYSTEM	
	New Retirement	

### 3.5 Key Business Rules

#### 3.5.1 Retirement eligibility

1. If the member is a General Member, the member is eligible for retirement:
  - a. At age fifty, if the member has at least ten years of service credit, excluding prior public service or golden handshakes; or
  - b. At any age, if the member has thirty years of service credit; or
  - c. At age seventy, regardless of years of service credit.
2. If the member is a Safety Member, the member is eligible for retirement:
  - a. At age fifty, if the member has at least ten years of service credit, excluding prior public service or golden handshakes; or
  - b. At any age, if the member has at least twenty years of service credit.
3. The member's service credit under all reciprocal systems will be added together to determine eligibility for retirement allowance from FCERA, provided that you retire concurrently from all reciprocal systems.
4. When reciprocity is involved, the Retirement Coordinator may use alternate criteria to determine retirement eligibility. A member is eligible when the member is age 50, has ten years of combined service (excluding golden handshakes and prior public service), and the member's first contributed dollar has been in any reciprocal retirement system for 10 years. A member is vested after completing five years of service.
5. Eligibility service only applies when qualifying for retirement. It does not impact the benefit received.

#### 3.5.2 Currently Used Forms and Reports

Calculation Summary

Audit Trail

Options Form (and variations depending status of member)

Cover Letter for Options Form

Excel file for internal payroll unit

Beneficiary Change Form

Application for Retirement

Change of Address

Member's banking institution change, if any

Name Change

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Tax Withholding Forms

Retirement Allowance Option

Member's Birth Certificate

Member's Marriage Certificate, if the beneficiary is a spouse

Notarized State of California "Declaration of Domestic Partnership" or valid "Certificate of Domestic Partnership" if the member's beneficiary is the member's domestic partner.

The member's beneficiary's Social Security Number, birth certificate, and mailing address.

A completed Direct Deposit form, optional

Member's Social Security estimate, if electing temporary annuity.

### 3.6 Data Points

Active Payroll import file that includes the member's final pay data must be processed in PENSIONS.

Bank payroll NBX file (Excel format) is produced at the end of this process.

## 4 Analysis and Recommendation

Gathering all the documents to support a member's retirement is, by its nature, a manual process. However, knowing which documents are appropriate in each member's circumstance and the documents that are on-file already, scheduling meetings and follow-up, performing calculations, and transferring the pension to payroll are all steps that require consistent processes. These are areas where FCERA should expect automation from a PAS.

From the time where the member initially contacts FCERA for a retirement consultation, to the point where the pension transaction goes to the payroll, the PAS should provide checklists, calendars, and reminders to aid FCERA in efficiently processing the retirement application. Given all the information in the member's account, the PAS should be expected to determine what is needed to proceed with the retirement setup for that member. All checklists and workflow steps can become context-aware, allowing FCERA staff to focus only on what is required for each retiring member. Of course, manual overrides are necessary sometimes and the PAS should accommodate manual processing too.

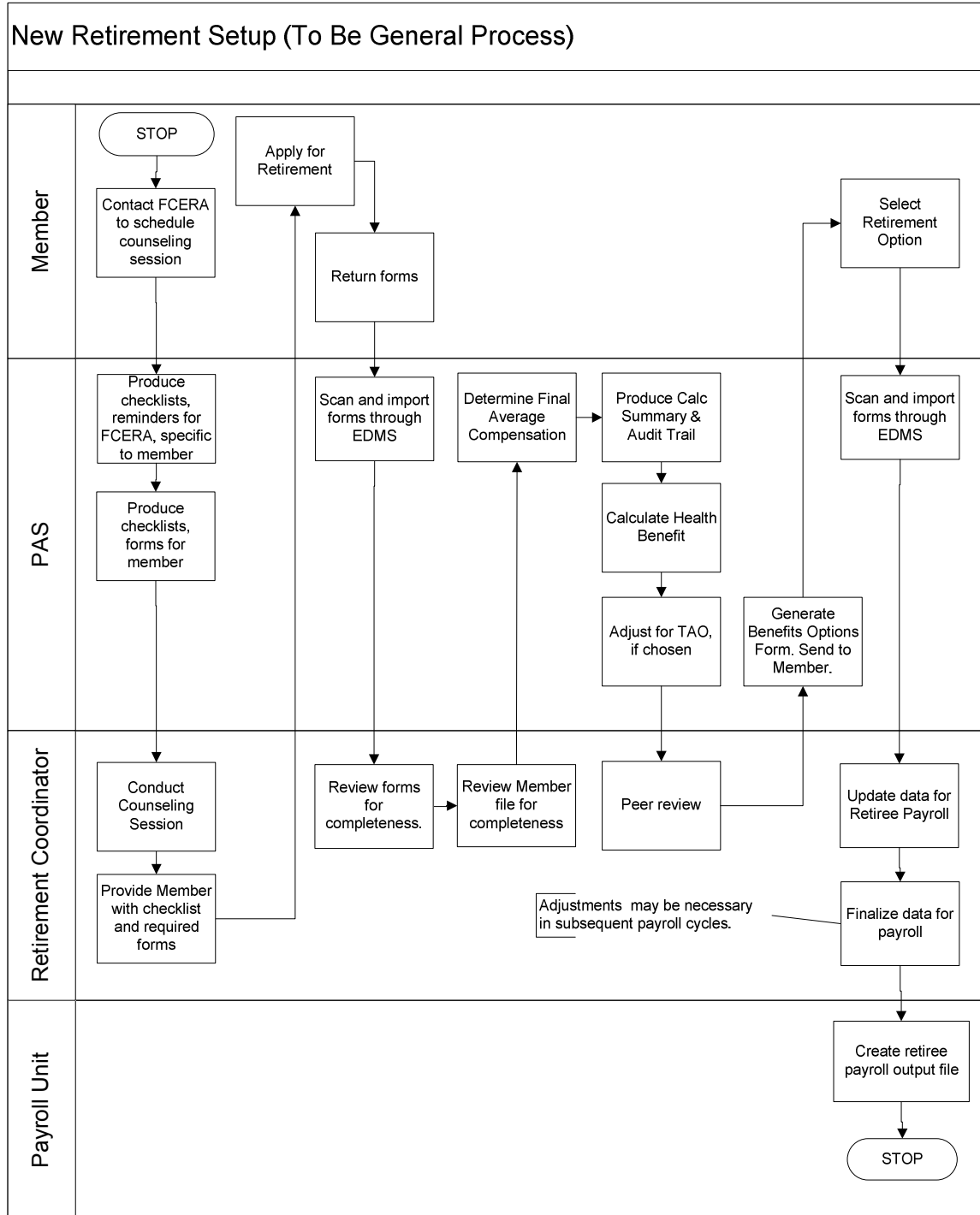
With the integration of a PAS with EDMS capabilities, tracking the status of documents sent and received on the member's account can become much more automated. As documents are scanned in the EDMS/PAS environment, they can be marked in the retirement checklist as received with little or no human intervention (a verification step may still be desired). Likewise, as documents are generated, their status can be marked as

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	<b>New Retirement</b>	

sent automatically. Reliance on the user to remember to update the checklists becomes less.


FCERA should look to a PAS to provide efficiencies and consistency in processing a retirement setup.

The diagram below depicts a future processing model with more automation in the PAS.




## 5 Requirements


ReqID	Process	Requirement details	Priority
500.001	New Retirement	The PAS will provide automated tools to assist FCERA in setting up new retirees.	1

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-500
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	New Retirement	


ReqID	Process	Requirement details	Priority
500.002	New Retirement	The PAS will provide the capability to schedule counseling sessions with new retirees.	4
500.003	New Retirement	The PAS will provide the capability to assign the member to a Retirement Coordinator.	4
500.004	New Retirement	The PAS will provide the capability to generate calendar reminders for the Retirement Coordinator to track appointments, due dates, follow-up, and other events in the new retirement setup process.	4
500.005	New Retirement	The PAS will provide the capability to automate checklists that assist the Retirement Coordinator in preparing for the retirement counseling session.	2
500.006	New Retirement	The PAS will provide automated checklist to assist the Retirement Coordinator in completing the member's file review.	2
500.007	New Retirement	The PAS will provide the capability for non-technical FCERA staff to add, modify, and delete items on the checklists.	2
500.008	New Retirement	The PAS will provide the automated capability to identify any reciprocity that is in effect for the retiring member.	2
500.009	New Retirement	<p>The PAS will provide the automated capability for the Retirement Coordinator to confirm the member's eligibility for retirement. The rules for eligibility are as follows:</p> <ol style="list-style-type: none"> <li>If the member is a General Member, the member is eligible for retirement: <ol style="list-style-type: none"> <li>At age fifty, if the member has at least ten years of service credit, excluding prior public service or golden handshakes; or</li> <li>At any age, if the member has thirty years of service credit; or</li> <li>At age seventy, regardless of years of service credit.</li> </ol> </li> <li>If the member is a Safety Member, the member is eligible for retirement: <ol style="list-style-type: none"> <li>At age fifty, if the member has at least ten years of service credit, excluding prior public service or golden handshakes; or</li> <li>At any age, if the member has at least twenty years of service credit.</li> </ol> </li> <li>The member's service credit under all reciprocal systems will be added together to determine eligibility for retirement allowance from FCERA, provided that the member retires concurrently from all reciprocal systems.</li> <li>When reciprocity is involved, the Retirement Coordinator may use alternate criteria to determine retirement eligibility. A member is eligible when the member is age 50, has ten years of combined service (excluding golden handshakes and prior public service), and the member's first contributed dollar has been in any reciprocal retirement system for 10 years. A member is vested after completing five years of service.</li> </ol>	2

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-500
	Project: PENSION ADMINISTRATION SYSTEM	
	New Retirement	

ReqID	Process	Requirement details	Priority
		5. Eligibility service only applies when qualifying for retirement. It does not impact the benefit received.	
500.010	New Retirement	The PAS will provide an automated capability for the Retirement Coordinator to verify the date of retirement.	2
500.011	New Retirement	The PAS will provide the automated capability for the Retirement Coordinator to verify any service purchases that are in-process.	2
500.012	New Retirement	The PAS will provide an automated capability to verify the final active payroll for the member has been imported.	2
500.013	New Retirement	The PAS will provide an automated capability to audit the member' Service.	2
500.014	New Retirement	The PAS will provide an automated capability to verify pay elements.	2
500.015	New Retirement	The PAS will provide an automated capability to verify final pay.	2
500.016	New Retirement	The PAS will provide an automated capability to identify Final Compensation.	2
500.017	New Retirement	The PAS will provide an automated capability to calculate Final Average Compensation.	2
500.018	New Retirement	The PAS will provide the capability for the user to override the amount of Final Average Compensation.	2
500.019	New Retirement	The PAS will provide an automated capability to calculate the member's service for multiple tiers and classifications of service.	2
500.020	New Retirement	<p>The PAS will provide the capability to update member information that is incomplete or incorrect, such as those listed below.</p> <ul style="list-style-type: none"> <li>a. Birth date</li> <li>b. Age factor</li> <li>c. Date of retirement</li> <li>d. Final Compensation (per plan/tier)</li> <li>e. Service (per plan/tier)</li> <li>f. Date of membership</li> <li>g. If spouse, spouse name and birth date</li> <li>h. Contributions, nontaxable (post tax, after tax) and regular (taxable)</li> <li>i. COLA adjustments</li> <li>j. Name and address of member</li> <li>k. Type of retirement (Service, Disability, Death)</li> <li>l. Beneficiary type/relationship (Spouse, Minor child, Other, None), plus verification of beneficiary age, marriage, and registration of domestic partnership</li> <li>m. Tier and classification (General or Safety)</li> <li>n. Estimated Social Security benefit</li> <li>o. Temporary Annuity option</li> <li>p. Reciprocity</li> </ul>	2
500.021	New Retirement	The PAS will provide the capability to produce the Calculation Summary report for the retiring member.	2
500.022	New Retirement	The PAS will provide the capability to produce the member's Audit Trail report. For split tiers, the Audit Trail will show two or more calculations.	2
500.023	New Retirement	The PAS will provide the automated capability to calculate the Vested Health Benefit for the retiring member.	2

	<b>FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION</b>	<b>FCERA-PAS-REQ-500</b>
	<b>Project: PENSION ADMINISTRATION SYSTEM</b>	
	<b>New Retirement</b>	

<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
500.024	New Retirement	The PAS will provide the automated capability to calculate the non-Vested Health Benefit for the retiring member.	2
500.025	New Retirement	The PAS will provide the automated capability to adjust the Retirement Allowance for the Temporary Annuity amount, if the member has chosen the Temporary Annuity option.	2/3
500.026	New Retirement	The PAS will provide the capability to record the results of Peer Reviews on retirement set-ups. At a minimum, the peer review results will contain Reviewed by, Review date, Review issues (if any).	4
500.027	New Retirement	The PAS will provide the automated capability to produce the Benefit Options for the retiring member.	2
500.028	New Retirement	The PAS will provide the capability to create the cover letter for the Benefit Options form to the member.	2
500.029	New Retirement	The PAS will provide the capability to include the retiring member's payroll data in the retiree payroll output file. (See the requirements for Retiree Payroll, documented separately for details about this output file.)	2
500.030	New Retirement	The PAS will provide the capability to confirm that all required documents are completed and in the member's file prior to releasing the retiree's payments to payroll.	2
500.031	New Retirement	The PAS will provide the capability to include any retro-active payment amounts for the member in the member's first pension check.	2
500.032	New Retirement	The PAS will provide the automated capability to include adjustments to pension payment amounts. This is often necessary to true-up any changes due to final pay information from Plan Sponsor. It typically take three pay cycles to get the continuing amount correct: 1. month 1- the initial pay amount, 2. month 2 - the corrected pay amount plus adjustments, 3. month 3- the continuing correct pay amount	2

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-500
	Project: PENSION ADMINISTRATION SYSTEM	
	Retirement Temporary Annuity Option	

## 4.4.500 Retirement Temporary Annuity Option

### 1 Overview

The primary objective of the benefit setup process is to enroll a retired member in the Temporary Annuity Option, if the member elects that option. The Temporary Annuity Option is intended to provide a consistent income for members who retire before being eligible to receive Social Security.

If a member retires from Fresno County, Courts, or a Special District before age 62 and is covered by Social Security, the member may receive additional benefits from FCERA until the member reaches age 62 and becomes eligible to receive Social Security benefits. The Temporary Annuity Option allows the retiring member to receive a higher benefit from FCERA than the member would otherwise receive prior to age 62, and then a lower benefit from FCERA than the member would otherwise receive after age 62. The intended effect of the temporary annuity is to provide the retired member with a uniform income (FCERA benefit plus Social Security benefit) for life.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who are responsible for day-to-day member support and processing.
FCERA staff	“Staff” at FCERA refers to non-managers. Retirement Coordinators are staff, along with many other roles.

### 3 Process Overview

#### 3.1 Process Scope


The Temporary Annuity process starts when the Retirement Coordinator has received a request for temporary annuity from the applicant, in conjunction with the application for retirement.

#### 3.2 Process Flow

This process does not require a diagram.

#### 3.3 Process Steps



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1. Prerequisite: No earlier than six months prior to the anticipated retirement date, the member has obtained from the Social Security Office an estimate of Social Security benefit available to the applicant at age 62.
2. Determine if Applicant is covered by Social Security
3. Note member's age at retirement as determined by PENSIONS (uses Social Security 'prior quarter' rules to compute age)
4. Note member's classification, General or Safety
5. Note annuity factor as determined by PENSIONS
6. Calculate Temporary Annuity (see Key Business Rules below) as part of the benefit allowance estimate calculation process

### 3.4 Areas of Concern

The PAS will include the Temporary Annuity option, and the rules around the option, in final benefit calculations.

PENSIONS does not hold all the values for the Unmodified Option nor the reduced value. This impacts the actuary's ability to calculate liabilities and requires FCERA to maintain and submit additional Excel spreadsheets to the actuaries. The manual processes allow occasional errors when FCERA calculates a continuance. For example, FCERA might (erroneously) use the pre-age 62 or the post-age 62 benefits instead of the Unmodified Option to calculate the amount. FCERA would like to have all the information, including stop dates, in the PAS and available for both the actuary and the continuance calculation.

### 3.5 Key Business Rules

#### 3.5.1 Determining Member's Age


Age is calculated using the 'prior quarter birthday' rules established by Social Security. Social Security determines benefits based on full quarters completed. Thus, unless the member retires on the first day of a quarter, the prior full quarter determines your benefit.

#### 3.5.2 Adjusting Allowance for the Temporary Annuity Option

1. For General Members, use Table 6. For Safety Members, use Table 7. Although there are different tables for the Temporary Annuity Factors for General and Safety, the same factors are used for all tiers within each classification.

Example:

	General Tier 1	Safety Tier 1
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	<b>Retirement Temporary Annuity Option</b>	

Social Security Estimate	\$1500.00	\$1500.00
Temporary Annuity Factor, Age 55	X 0.5141	X 0.5068
Temporary Annuity	\$771.15	\$760.20
Monthly Retirement before age 62		
Retirement Allowance	\$3,431.10	\$4,494.47
Add Temporary Annuity	771.15	760.20
Total Monthly Benefit	\$4,202.25	\$5,254.67
Monthly Retirement after age 62		
Monthly Benefit Before age 62	\$4,202.25	\$5,254.67
Subtract Social Security Estimate	-1,500.00	-1,500.00
Monthly Benefit from FCERA	\$2,2702.25	\$3,754.67
Monthly Benefit from Social Security	1,500.00	1,500.00
Total Monthly Benefit	\$4,202.25	\$5,254.67

- The member receives the temporary annuity from FCERA through the month of the member's 62nd birthday. When the member turns age 62, the FCERA benefit is reduced by the full amount of the Social Security estimate, whether or not the member has applied to receive Social Security benefits and regardless of the actual amount of the applicant's Social Security benefits.
- The temporary annuity option is not available with a disability retirement.

### 3.5.3 Benefit Tables


Tables must be updated each time the Actuarial Assumptions change.

### 3.5.4 Currently Used Forms and Reports

Member Social Security Estimate from the Social Security Office  
FCERA Retirement Estimate

### 3.6 Data Points

There are no data integration points for this process.

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## 4 Analysis & Recommendation


To ensure the integrity of the pension valuation, the calculation of the TAO amount should never be manual. Once the member has elected the Temporary Annuity Option, the PAS is expected to have all the information necessary to calculate the TAO amount, and adjust the FCERA month benefit accordingly, without manual intervention. Likewise, in the month after the retiree turns 62, the re-adjustment of the monthly benefit should take place automatically.

A report listing the TAO's that are due to revert and/or letters to retirees whose TAO's are due to convert would be good additions to the TAO processing.

## 5 Requirements

The table below contains the formal requirements for including the Temporary Annuity Option in the FCERA pension calculation.


ReqID	Process	Requirement details	Priority																					
500.111	Retirement TAO	The PAS will provide the capability to store all values relevant to the Temporary Annuity Option calculation for all Retirement Options available to the member.	1																					
500.112	Retirement TAO	The PAS will provide the capability to include the Temporary Annuity Option in the retirement benefit calculation.	2/3																					
500.113	Retirement TAO	The PAS will allow the Temporary Annuity Option only for members who are eligible to receive Social Security benefits when the reach the age eligibility for Social Security.	2																					
500.114	Retirement TAO	The PAS will store the TAO annuity factor tables, an example of which is shown in the Appendix below as Table 6 (General members) and Table 7 (Safety members)	2																					
500.115	Retirement TAO	The PAS will provide the capability for non-technical FCERA staff to update the TAO annuity factor tables each time the Actuarial Assumptions change for FCERA.	2																					
500.116	Retirement TAO	The PAS will calculate Age using the prior quarter birthday rules established by Social Security for the purposes of TAO calculation.	2																					
500.117	Retirement TAO	<div>Using the Temporary Annuity Factors provided in the annuity factor tables, the PAS will calculate the TAO amounts and the adjusted retirement benefit amounts as shown below. The calculation result cannot be a negative number</div> <table><tr><td></td><td>General Tier 1</td><td>Safety Tier 1</td></tr><tr><td>Social Security Estimate</td><td>\$1500.00</td><td>\$1500.00</td></tr><tr><td>Temporary Annuity Factor, Age 55</td><td>X 0.5141</td><td>X 0.5068</td></tr><tr><td>Temporary Annuity</td><td>\$771.15</td><td>\$760.20</td></tr><tr><td></td><td></td><td></td></tr><tr><td colspan="3">Monthly Retirement before age 62</td></tr><tr><td>Retirement Allowance</td><td>\$3,431.10</td><td>\$4,494.47</td></tr></table>		General Tier 1	Safety Tier 1	Social Security Estimate	\$1500.00	\$1500.00	Temporary Annuity Factor, Age 55	X 0.5141	X 0.5068	Temporary Annuity	\$771.15	\$760.20				Monthly Retirement before age 62			Retirement Allowance	\$3,431.10	\$4,494.47	2
	General Tier 1	Safety Tier 1																						
Social Security Estimate	\$1500.00	\$1500.00																						
Temporary Annuity Factor, Age 55	X 0.5141	X 0.5068																						
Temporary Annuity	\$771.15	\$760.20																						
Monthly Retirement before age 62																								
Retirement Allowance	\$3,431.10	\$4,494.47																						

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	<b>Retirement Temporary Annuity Option</b>	

ReqID	Process	Requirement details			Priority
		Add Temporary Annuity	771.15	760.20	
		Total Monthly Benefit	\$4,202.25	\$5,254.67	
		Monthly Retirement after age 62			
		Monthly Benefit Before age 62	\$4,202.25	\$5,254.67	
		Subtract Social Security Estimate	-1,500.00	-1,500.00	
		Monthly Benefit from FCERA	\$2,2702.25	\$3,754.67	
		Monthly Benefit from Social Security	1,500.00	1,500.00	
		Total Monthly Benefit	\$4,202.25	\$5,254.67	
500.118	Retirement TAO	The PAS will reduce the monthly FCERA benefit amount by the amount of the Social Security estimate in the month after the member turns age 62. This action will be taken whether or not the member has applied to receive Social Security benefits and regardless of the actual amount of the member’s Social Security benefit.			2
500.119	Retirement TAO	The PAS will provide the capability to generate a report containing TAOs that are about to revert to the normal pension amount within X number of months, where X is an input parameter to the report.			2
500.120	Retirement TAO	The PAS will provide the capability to generate a letter to retirees whose TAOs are about to revert to the normal pension amount.			2

## 5.1 Appendix – Temporary Annuity Tables


Excerpts from the current TAO tables are shown below. New TAO tables will go into effect July 1, 2010.

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**TABLE 6 – GENERAL MEMBERS TEMPORARY  
ANNUITY FACTORS**

**PERCENTAGE OF SOCIAL SECURITY ESTIMATE AT  
AGE 62 FOR ESTIMATED MONTHLY BENEFIT**


Age	Exact Age	+1/4 yr.	+1/2 yr.	+3/4 yr.
40	0.1428	0.1458	0.1489	0.1519
41	0.1550	0.1583	0.1616	0.1649
42	0.1682	0.1719	0.1755	0.1791
43	0.1827	0.1867	0.1906	0.1946
44	0.1985	0.2029	0.2072	0.2115
45	0.2158	0.2206	0.2253	0.2300
46	0.2347	0.2399	0.2451	0.2503
47	0.2554	0.2611	0.2668	0.2724
48	0.2781	0.2843	0.2905	0.2967
49	0.3029	0.3098	0.3166	0.3234
50	0.3302	0.3377	0.3452	0.3527
51	0.3602	0.3685	0.3767	0.3850
52	0.3932	0.4023	0.4114	0.4205
53	0.4296	0.4396	0.4497	0.4597
54	0.4698	0.4809	0.4920	0.5031
55	0.5141	0.5264	0.5387	0.5510
56	0.5633	0.5769	0.5906	0.6042
57	0.6178	0.6330	0.6481	0.6633
58	0.6784	0.6953	0.7122	0.7290
59	0.7459	0.7647	0.7836	0.8024
60	0.8212	0.8423	0.8634	0.8844
61	0.9055	0.9291	0.9527	0.9764
62	1.0000			

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-500
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**TABLE 7 – SAFETY MEMBERS TEMPORARY  
ANNUITY FACTORS**

**PERCENTAGE OF SOCIAL SECURITY ESTIMATE AT  
AGE 62 FOR ESTIMATED MONTHLY BENEFIT**

Age	Exact Age	+1/4 yr.	+1/2 yr.	+3/4 yr.
40	0.1387	0.1417	0.1447	0.1477
41	0.1507	0.1539	0.1572	0.1604
42	0.1637	0.1673	0.1708	0.1744
43	0.1779	0.1818	0.1857	0.1896
44	0.1935	0.1977	0.2020	0.2062
45	0.2105	0.2151	0.2198	0.2244
46	0.2291	0.2342	0.2393	0.2444
47	0.2495	0.2551	0.2607	0.2663
48	0.2719	0.2780	0.2841	0.2903
49	0.2964	0.3032	0.3099	0.3167
50	0.3235	0.3309	0.3383	0.3458
51	0.3532	0.3614	0.3696	0.3778
52	0.3860	0.3951	0.4041	0.4132
53	0.4222	0.4323	0.4423	0.4523
54	0.4623	0.4734	0.4845	0.4956
55	0.5068	0.5191	0.5314	0.5437
56	0.5561	0.5698	0.5835	0.5972
57	0.6110	0.6263	0.6415	0.6568
58	0.6721	0.6892	0.7063	0.7234
59	0.7405	0.7597	0.7788	0.7980
60	0.8171	0.8386	0.8601	0.8816
61	0.9031	0.9274	0.9516	0.9758
62	1.0000			

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-501
	Project: PENSION ADMINISTRATION SYSTEM	
	Disability Process	

## 4.4.501 Disability Process

### 1 Overview

The primary objective of Disability Process is to receive, process, and decide applications for disability retirement.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who are responsible for day-to-day administration of the retirement program. Retirement Coordinators serve members directly.
FCERA Board of Retirement	The executive decision-making body for FCERA, comprised of FCERA's executive Retirement Administrator plus individuals from outside FCERA

### 3 Process Overview

#### 3.1 Process Scope

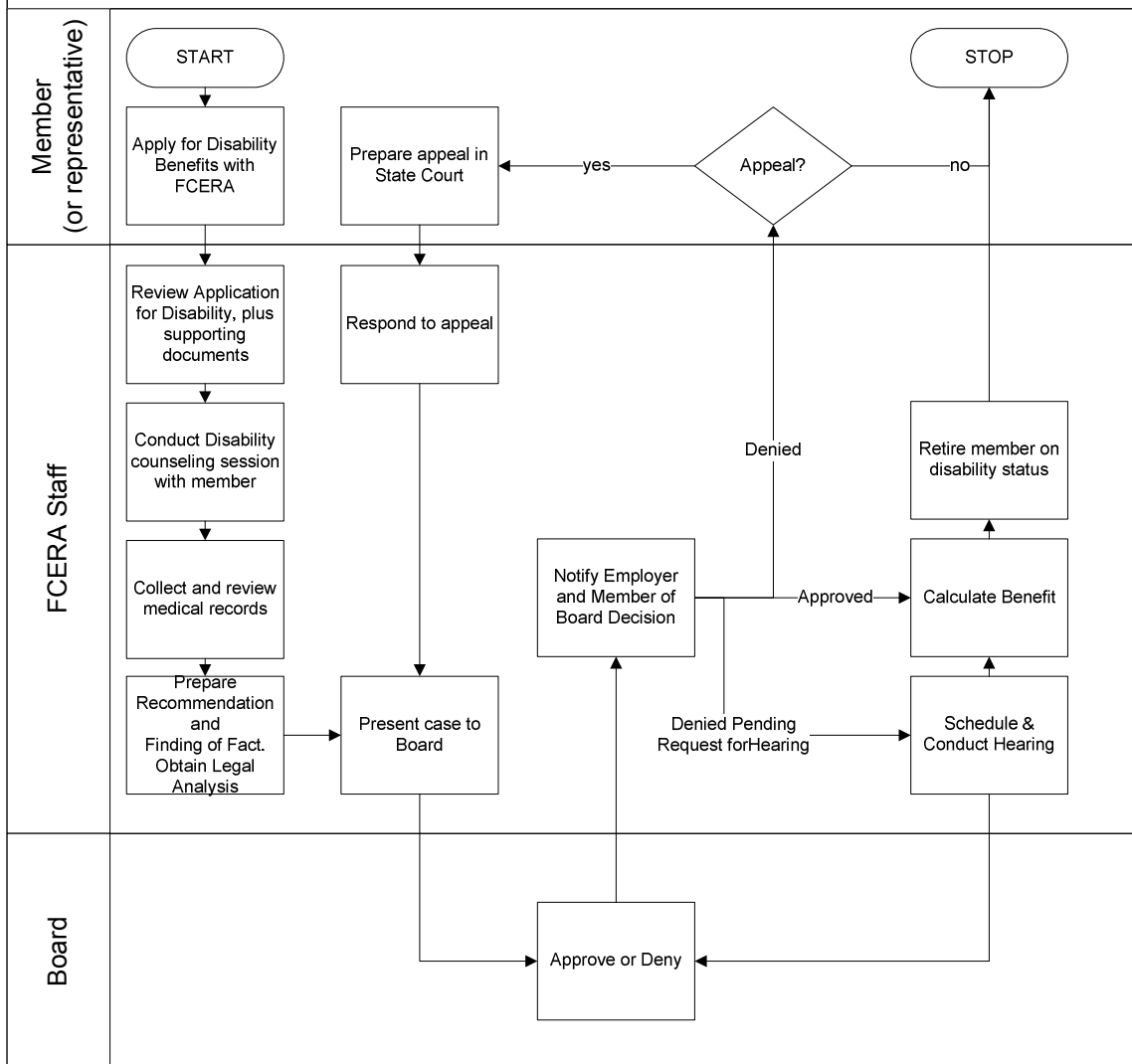
The Disability Process begins when the member is injured or placed on disability status, and cannot work. The process ends when the Board of Retirement approves the application, or when the application is officially denied.

The Disability Process can take from 15 to 32 months or longer if appeals are filed.

#### 3.2 Process Flow

The diagram below depicts the high-level process of a FCERA Disability claim.


## Disability Process (As-is)




### 3.3 Process Steps

1. Member is injured or placed on disability status by the employer.
2. Member obtains written diagnosis from treating physician.
3. Member applies for FCERA Disability benefits
  - a. Member completes application for Disability.
  - b. FCERA receives application for Disability from member or member's representative.



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	<b>Project: PENSION ADMINISTRATION SYSTEM</b>	
	<b>Disability Process</b>	

4. FCERA reviews the application and supporting documentation. Once the documentation is complete, FCERA accepts the application and schedules a counseling appointment.
5. FCERA staff conducts Disability Retirement Counseling
  - a. FCERA staff evaluates application with regards to Service Connected vs Non-Service Connected Disability and eligibility for Service Retirement.
  - b. FCERA calculates estimates of disability retirement benefit based on age, Final Compensation, service credit, type of membership, and tier.
  - c. Pending the outcome of the disability retirement application review, FCERA will check for the member's eligibility to receive a service retirement. The member's decision to begin receiving a service retirement will prevent the member from returning to work should the FCERA Board of Retirement deny the application. FCERA can accept no further employer payroll transactions for this member.
  - d. FCERA receives release of information forms (signed by member) allowing the Retirement Office to obtain medical, psychological, psychiatric, mental health and personnel information to substantiate member's disability.
6. FCERA staff collects medical records from Workers' Compensation, all treating physicians' and personnel files.
7. FCERA staff reviews all medical documentation. If sufficient, a medical examination is scheduled. If not sufficient, more records may be obtained.
8. FCERA staff prepares Recommendation and Findings of Fact. A legal analysis is obtained to guide the FCERA Board of Retirement in their decision. The matter is presented to the Board of Retirement.
9. FCERA Board of Retirement issues a decision
  - a. Application is granted/approved.
  - b. Application is denied pending a request for hearing. If documentation does not support the application sufficiently, or there is conflicting information, the Board of Retirement may deny the application pending a request from the member for a hearing.
  - c. FCERA sends Applicant/attorney a notice of the decision. The notice is a formal document prepared by administrative staff. The notice is not generated by the PAS.
  - d. FCERA notifies the worker's department and County Personnel of the decision.
10. If application is denied pending a hearing
  - a. Member (or attorney) is notified by FCERA that the case is denied pending a request for hearing. The request for hearing must be received by FCERA within 15 days after the date the notice of the Board's initial action was mailed to the applicant. FCERA and Applicant/Attorney select a Hearing Officer from a list of attorneys provided by the State of California Mediation and Conciliation Services.

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	Disability Process	

- b. FCERA staff sets up the hearing and notifies doctors, attorneys, County Counsel, court reporter, applicant, and hearing officer of time and place of the hearing.
- c. Hearing evidence is prepared for presentation by all parties.
- d. Hearing is held. Member/attorney presents his/her case to the Hearing Officer. County Counsel represents FCERA during the hearing. The Hearing Officer prepares recommendation to grant or deny the application within 30 days of hearing.

#### 11. FCERA Board of Retirement Decision after hearing

- a. The Hearing Officer's recommendation is provided to the FCERA Board of Retirement. The Board of Retirement has the option to adopt the Hearing Officer's recommendation, send the recommendation back to the Hearing Officer for additional information, or to hear/rehear the claim themselves.
- b. FCERA sends Applicant/attorney a notice of the decision. This is a formal document prepared by administrative staff. It is not generated out of the PAS.
- c. FCERA notifies the worker's department and County Personnel of the decision.
- d. Member has 10 days from the date notified to file objections with the Board of Retirement. Member may also file an appeal in Superior Court within 90 days of the date notified of the decision.

#### 12. If application is approved, FCERA calculates final disability benefit based on age, Final Compensation, service credit, tier, and classification (General or Safety). Member is put in 'retired' status.

### 3.4 Areas of Concern

FCERA wants the PAS to issue a warning when the member's account involves reciprocity.


FCERA wants the PAS to automate all calculations of disability benefits, including amounts due as a result of conversion from service retirement to disability retirement. The amounts may need to be overridden manually, but the PAS needs to perform the initial calculations based on formulae from statute.

Disability benefits calculations are based in statute and their calculations are different than for service retirement.

FCERA wants the PAS to calculate the amounts owed to the member at the time of conversion from service retirement to disability retirement, assuming the disability claim is approved.

FCERA would like for disability-related documents (such as letters to doctors) to be generated by the PAS.


The member's decision to begin receiving a service retirement will prevent the member from returning to work should the FCERA Board of Retirement deny the application. If a subsequent payroll file from a plan sponsor includes a transaction for this member,

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-501
	Project: PENSION ADMINISTRATION SYSTEM	
	Disability Process	

FCERA wants the PAS to ignore the transaction and generate an exception for FCERA to investigate.

### 3.5 Key Business Rules

1. No benefit is paid from FCERA to active members who have applied for Disability until the claim is decided, unless they are eligible for and elect service retirement.
2. The injured active member may choose to retire on service, if eligible, and will later convert to a disability retirement if the claim is decided in the member's favor.
3. The member can apply for FCERA disability retirement benefits while the member is on Workers' Compensation, 4850 benefits, or other government programs. (FCERA does not administer these programs in any way).
4. In order for FCERA to process the application
  - a. all questions on the application must be completed
  - b. the application must be signed by the member or the department head, and
  - c. the application must include a copy of a medical or psychological report prepared by a licensed physician or psychologist who treated the member, stating that the member is permanently disabled from the performance of the duties of the member's position and stating the causes of the disability
5. In general, Disability retirement benefits are effective from the date of your application or the day after the last day for which you were compensated, whichever is later.
6. The member's decision to begin receiving a service retirement pending the outcome of the disability application will prevent the member from returning to work should the FCERA Board of Retirement deny the application.
7. To qualify for Non-Service Connected Disability
  - a. The member must be permanently disabled and unable to perform the duties of the member's specific job; and
  - b. The member must have at least five years of service credit, including reciprocal service, but excluding public service credit purchased.
8. To qualify for Service Connected Disability
  - a. The member must be permanently disabled and unable to perform the duties of the member's specific job; and
  - b. The member's disability must be the result of injury or disease arising out of and in the course of the member's employment and such employment must contribute substantially to the member's incapacity.
9. The amount of Non-Service Connected Disability benefit is based on the greater of

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- a. An allowance calculated under a formula based on the member's age, years of service, final compensation, benefit tier and classification (General or Safety), and whether the member must rely on reciprocal service to qualify for the benefit; or
  - b. The member's service retirement allowance if the member is eligible for a service retirement allowance.
  - c. Reciprocity
10. The amount of Service Connected Disability benefit is equal to the greater of
- a. One-half of Final Compensation (which is non-taxable for Service-Connected Disability); or
  - b. The member's service retirement allowance if the member is eligible for service retirement allowance (an amount equal to up to one half of final compensation is non-taxable, excluding health benefits and supplemental benefit).

### 3.5.1 Currently Used Forms and Reports

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Application for Disability

Release of Information form

Medical reports from treating physician

Recommendation and Findings

Agenda to the Board

Hearing Officers Report

Legal Analysis

Formal Letter of Decision

Acknowledgment of Filing for Disability Application

Letter to Confirm Independent Medical Examiner (IME) Appointment


Applicant's Records to IME Letter

Copy of IME Evaluation Report (sent to applicant) letter

Waiver of Right to Enroll in Rehabilitation Program

### 3.6 Data Points

There is no data integration required specifically for disability processing. If the claim is approved, the member will be added to the retiree payroll as a result of attaining retired status on disability.

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## 4 Analysis and Recommendation

The processing of disability claim is primarily one of gathering information and tracking the status of disability-related documents and events. Many of the activities are performed by outside parties and therefore somewhat out of FCERA's control. However, it is FCERA's responsibility to usher the application through the approval process as efficiently as possible.

To that end, the PAS should support automation at several points in the disability process:


- Calculating the amount of the disability benefit and amounts due to FCERA
- Providing reminders, calendars, checklists, and other tools to help FCERA administer the life cycle of disability claims.

FCERA may wish to consider context-aware workflow capabilities when evaluating PAS products. These tools know something about a document or event and can therefore take automated actions based on that information. As an example, let's examine a member being notified of a disability application denied pending a request for a hearing. The PAS would generate the notification letter and record the date of the notification. Since the PAS knows the type of the letter, the recipients, and the date (the 'context'), the PAS could calculate the due date of 15 days later and issue reminders as the date approaches. The Retirement Coordinator will not have to remember to schedule the due date or the reminder. FCERA will, however, need to define all the actions for each document or event.


- Providing letter generation to all the parties involved in a disability case
- Placing the member on the payroll if the disability case is approved

## 5 Requirements

ReqID	Process	Item detail	Priority
501.001	Disability	The PAS will provide automation in the form of checklists, calendars, calculations, and other tools to support the tracking of documents and events involved in processing a disability application.	1
501.002	Disability	The PAS will provide the capability to designate a member's account in the PAS as 'pending disability' for as long as the claim approval process may take. It is not unusual for a disability claim to take 15-32 months to reach decision.	2


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<b>ReqID</b>	<b>Process</b>	<b>Item detail</b>	<b>Priority</b>
501.003	Disability	<p>The PAS will provide the capability to record a member's basic qualifications to receive a <b>non-service connected</b> disability benefit</p> <ul style="list-style-type: none"> <li>• The member must be permanently disabled and unable to perform the duties of the member's specific job (as decided and approved by the Board); and</li> <li>• The member must have at least five years of service credit, including reciprocal service but excluding public service credit purchased, as calculated by the PAS.</li> </ul>	2
501.004	Disability	<p>The PAS will provide the capability to record a member's basic qualifications to receive a <b>service connected</b> disability benefit</p> <ul style="list-style-type: none"> <li>• The member must be permanently disabled and unable to perform the duties of the member's specific job (as decided and approved by the Board); and</li> <li>• The member's disability must be the result of injury or disease arising out of and in the course of the member's employment and such employment must contribute substantially to the member's incapacity (as determined by the Board)</li> </ul>	2
501.005	Disability	The PAS will provide the capability for nontechnical staff to set up important documents and events in the disability claim processing and the default timeframes in which those events are due (as in due within 10 days of issue, etc)	2
501.006	Disability	<p>The PAS will provide the capability to track the sent dates, received dates, due dates, and other status values of the following documents and events supporting a disability claim, at a minimum</p> <ul style="list-style-type: none"> <li>• Disability Application</li> <li>• Release of Information (signed by member)</li> <li>• Medical records from treating physicians</li> <li>• Meetings and appointment dates</li> <li>• Due dates of correspondence items</li> <li>• Application for Disability</li> <li>• Notices to member</li> <li>• Notices to attorneys</li> <li>• Notices to Plan Sponsor</li> <li>• Recommendation and Findings</li> <li>• Agenda to the Board</li> <li>• Legal Analysis</li> <li>• Formal Letter of Decision</li> <li>• Free-text notes</li> <li>• Hearing s and Requests for Hearings</li> <li>• Board Decisions</li> </ul>	2
501.007	Disability	The PAS will provide the capability to add items to the list of documents and events supporting a disability claim.	2
501.008	Disability	The PAS will provide the capability to remove items from the list of documents and events supporting a disability claim.	2
501.009	Disability	The PAS will provide the capability to issue reminders to FCERA staff of approaching appointment and due dates on the Disability claim processing.	2
501.010	Disability	The PAS will provide the capability to alert FCERA when the member's work history involves reciprocity, as reciprocity is a factor in processing the disability claim.	2

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ReqID	Process	Item detail	Priority
501.011	Disability	The PAS will provide the capability to generate, at a minimum, the following standard disability-related letters. <ul style="list-style-type: none"> <li>Letters to doctors</li> <li>Standard notices to members</li> <li>Standard notices to attorneys</li> </ul>	2
501.012	Disability	The PAS will provide the capability to modify the standard content of disability-related letters generated as needed to support Disability claim processing.	2
501.013	Disability	The PAS will provide the capability to export the standard disability-related letters to Microsoft Word (versions 2003 and later) to customize the content for a particular disability situation.	2
501.014	Disability	The PAS will provide the capability to create new standard disability-related letters based on existing standard disability letters.	2
501.015	Disability	The PAS will provide the capability to add new original standard disability-related letters.	2
501.016	Disability	The PAS will provide the capability to delete standard disability-related letters.	2
501.017	Disability	The PAS will provide the capability to disallow any type of payment to Active members who have filed a disability claim until the claim is decided (i.e. the member is Active and has been marked as Pending Disability).	2
501.018	Disability	The PAS will provide the capability to allow a member to retire on service (if eligible) and receive service retirement benefit payments, pending decision of disability claim.	2
501.019	Disability	The PAS will provide the capability to reject and report any incoming Plan Sponsor payroll transactions for members whose disability claim is pending and the member has elected to receive service retirement benefits.	4
501.020	Disability	The PAS will provide the capability to convert a member's retirement from service retirement to disability retirement when the disability claim is approved.	3
501.021	Disability	The PAS will provide the capability to calculate the <b>non-service-connected</b> disability benefit as documented in Article 10 of County Employees Retirement Law of 1937, 2010 Edition. This amount is generally the greater of <ul style="list-style-type: none"> <li>An allowance calculated under a formula based on the based on age, Final Compensation, service credit, and classification (General or Safety), and whether the member must rely on reciprocal service to qualify for the benefit. Or,</li> <li>The member's service retirement allowance if the member is eligible for a service retirement allowance. Or,</li> <li>Reciprocity.</li> </ul>	3
501.022	Disability	The PAS will provide the capability to calculate the <b>service-connected</b> disability benefit as documented in Article 10 of County Employees Retirement Law of 1937, 2010 Edition. The benefit amount is generally equal to the greater of <ul style="list-style-type: none"> <li>One-half of Final Compensation</li> <li>The member's service retirement allowance if the member is eligible for service retirement allowance</li> </ul>	3
501.023	Disability	The PAS will provide the capability to override any disability benefit calculations made by the PAS.	2



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ReqID	Process	Item detail	Priority
501.024	Disability	The PAS will provide the capability to calculate additional amounts FCERA owes the member at the time of conversion from service retirement to disability retirement.	2
501.025	Disability	The PAS will provide the capability to calculate additional amounts the member owes FCERA at the time of conversion from service retirement to disability retirement.	2
501.026	Disability	The PAS will provide the capability to override any additional amount owed as calculated by the PAS.	2
501.027	Disability	The PAS will provide the capability to calculate proper taxability on the <b>non-Service Connected</b> Disability benefit per <b>State</b> regulations (generally <b>non-Service-Connected</b> Disability benefits are taxable).	2
501.028	Disability	The PAS will provide the capability to calculate proper taxability on the <b>non-Service Connected</b> Disability benefit per <b>Federal</b> regulations (generally <b>non-Service-Connected</b> Disability benefits are taxable).	2
501.029	Disability	The PAS will provide the capability to calculate proper taxability on <b>Service Connected</b> Disability benefit per <b>Federal</b> regulations. Generally, for a <b>Service-Connected</b> Disability: <ul style="list-style-type: none"> <li>• If the benefit is one-half of Final Compensation, the benefit is non-taxable</li> <li>• If the benefit is the member's service retirement allowance, up to one-half of final compensation is non-taxable.</li> </ul>	2
501.030	Disability	The PAS will provide the capability to calculate proper taxability on <b>Service Connect</b> Disability benefit per <b>State</b> regulations. Generally, for a <b>Service-Connected</b> Disability: <ul style="list-style-type: none"> <li>• If the benefit is one-half of Final Compensation, the benefit is non-taxable</li> <li>• If the benefit is the member's service retirement allowance, up to one-half of final compensation is non-taxable.</li> </ul>	2
501.031	Disability	The PAS will provide the capability to override the taxable and non-taxable amounts that were determine by the PAS.	2
501.032	Disability	The PAS will provide the capability to default the effective date of the disability benefit to either the date of the application or the day after the last day for which the member was compensated, whichever date is later, or to some other default date as determined by FCERA.	2
501.033	Disability	The PAS will provide the capability to default the effective date of the disability benefit to the date of conversion from service retirement to disability retirement (assuming the claim is approved and the member elected service retirement pending outcome of the claim) or to some other default date as determined by FCERA.	2
501.034	Disability	The PAS will provide the capability for the user to specify the effective date of the disability benefit, overriding any default set by the PAS.	2



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## Death of Active Member

### 1 Overview

The primary objective of the Death of Active Member process is to receive and process the application for FCERA death benefit when the deceased is an active member of FCERA.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who are responsible for day-to-day administration of the retirement program. Retirement Coordinators serve members directly.
Survivor(s)	The persons who, if eligible, receive the member's FCERA death benefits upon the active member's death.

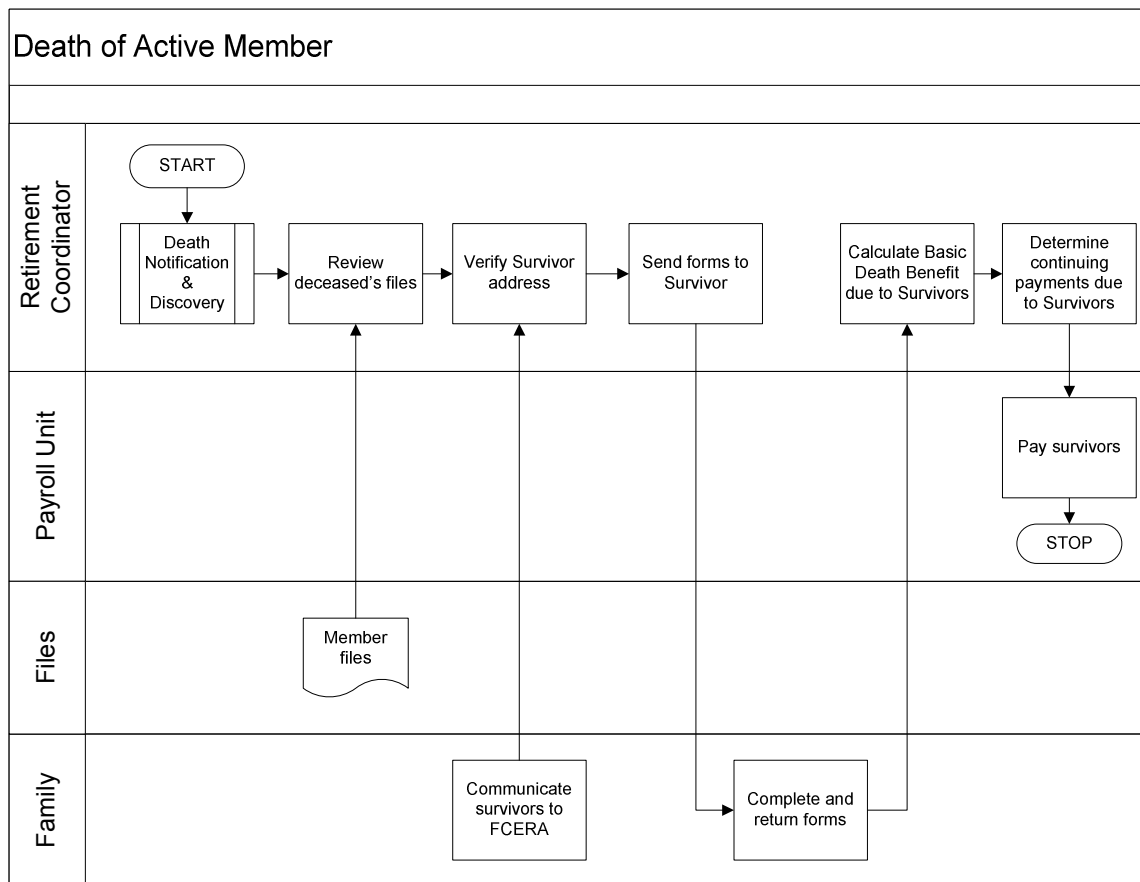
### 3 Process Overview

#### 3.1 Process Scope

The Death process begins after FCERA learns of the member's death, and ends when the benefit/contributions amount is paid to the survivors.

The details of each type of death process for an active member are discussed in the following paragraphs.

#### 3.2 Process Flow



### 3.3 Process Steps


Based on the member's retirement classification (Safety or General), the cause of death, the presence of eligible beneficiaries, and the member's vesting status, the survivors of active members may receive a lump-sum Basic Death Benefit, a continuing benefit, or both.

The Basic Death Benefit consists of

- The member's accumulated contributions plus interest, plus
- An amount equal to one-twelfth of the annual compensation earnable by the deceased during the 12 months immediately preceding his death, multiplied by the number of completed years of service under the system, but not to exceed 50% of annual compensation earnable.

The following steps are common to all types of deaths that occur before a member's retirement:

- The Retirement Coordinator reviews the deceased member's file.
- The Retirement Coordinator contacts the named beneficiary and verifies his/her address.

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3. The Retirement Coordinator sends a condolence letter with the following:
  - a. Death benefit option form, if applicable
  - b. Direct deposit form, if applicable
  - c. Tax withholding forms (fed and state)
  - d. Request for death certificate
  - e. If no marriage license is on file, then a request for this document
  - f. Birth certificate request (for the Survivor(s)/beneficiaries if there is a benefit due to spouse and/or minor children)
  - g. DRO, if applicable
  - h. Claimant's Statement
  - i. Affidavit
4. The Retirement Coordinator determines the benefit to be paid to the survivors based on the option selected.
5. FCERA Payroll Unit communicates with the Bank to make payment, whether lump-sum or continuing, to the survivors.

The various benefits available to survivors are discussed in the following paragraphs.

### **3.3.1 Death of a General Member before Retirement**

If a member dies while on duty and performing the duties of the member's job, the death is considered service-connected. If the member dies on the job due to causes other than performing work-related duties (such as a heart attack), the death is not service-connected.

A continuing benefit may be available to the eligible spouse and minor children who survive a General member's service-connected or non-service connected death.

#### **3.3.1.1 Service-Connected Death of a General Member before Retirement**

The term service-connected death refers to a death caused by performing one's job duties.

The Basic Death Benefit is available to the eligible spouse or beneficiaries who survive a General member's service-connected death.


A continuing benefit may be available to the eligible spouse and minor children who survive a General member's service-connected death.

There is no vesting requirement for the Basic Death Benefit or the continuing benefit in the case of service-connected death.

The various situations involving an active member's death before retirement, and the benefits associated with each, are discussed below.

#### **General: Eligible Spouse**

In lieu of receiving the Basic Death Benefit, the surviving spouse may be eligible to receive a continuing monthly benefit equal to 100% of either a service connected

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disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. Alternatively, the surviving spouse may be eligible to receive a combined refund and continuing lifetime benefit reduced by an amount that is the actuarial equivalent of the refund. Service-connected death benefit is based only on the final compensation of the deceased member.

There can be alternate payees, in which case the Basic Death Benefit and/or the continuing death benefit could be split according to court order, provided the deceased member was eligible for retirement. If the member was not eligible for retirement at the time of death, then alternate payees are not entitled to any portion of the benefit until the member would have become eligible for retirement.

### **General: Minor Child**

Minor children could be eligible to receive a continuing monthly benefit equal to 100% of either a service connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. Service-connected death benefit is based only on the final compensation of the deceased member.

If eligible, the minor child receives the continuing benefit up to age 18, or age 22 as long as the child remains a full time student and unmarried. FCERA will verify age each birthday, and verify school enrollment along with marital status each semester. The PAS system must include a flag that reminds FCERA to verify a child's eligibility at certain dates. Further, the PAS will provide the capability to stop the continuance when the child has become ineligible.

Payments are deposited into a blocked account that is under control of Court until the child reaches age 18.

An ex-spouse has no right to the minor child benefit.

### **General: No Spouse/Minor Child**


If the deceased member was not married, a lump sum distribution of deceased member's Basic Death Benefit and contribution plus interest is split and paid to the beneficiaries on file. If the beneficiaries are not documented, the payment will be made to the Estate.

### **3.3.1.2 Non Service-Connected Death of General Member before Retirement**

If a member dies due to causes other than while on duty performing work-related activities, the death is called a non-service connected death.

If the deceased member had at least five years of service (excluding any public service credit purchased), the member's surviving spouse can elect to receive one of the three benefits listed below, or the member's dependent child(ren) will receive either of the first two (1 or 2) benefits listed below as elected by the guardian of the child(ren):

1. Basic death benefit as described above
2. Continuing monthly benefit equal to 60% of either a non-service connected disability retirement allowance or a service retirement allowance (provided the member met the requirements for retirement prior to death) whichever is greater.

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3. Basic Death Benefit plus a reduced continuing monthly benefit as calculated by the Actuary.

If the deceased member was not married, had no minor children, or did not have at least five years of service, the basic death benefit and a lump sum distribution of deceased member's contribution plus interest is split and paid to the beneficiaries on file. If there are no beneficiaries documented, the payment will be made to the member's Estate.

If the deceased member had less than five years of service (excluding any public service credit purchased) or the member's survivor is not the member's surviving spouse or dependent child(ren), the member's survivor will receive the basic death benefit and a lump sum distribution of deceased member's contribution plus interest.

### **3.3.2 Death of a Safety Member before Retirement**

#### **3.3.2.1 Safety, Service-Connected, Non-Violent Death**

Regardless of the cause of death, if the death of a Safety member occurred while the member was on-duty, the death is a service-connected death.

If a Safety member dies while off-duty, the death may be deemed service-connected. For example, a safety member's death due to a heart ailment is presumed to be service-connected unless FCERA can prove otherwise without looking at genetics or family history.

#### **Eligible Spouse (Safety, Service-Connected, Non-Violent Death)**

The surviving spouse is eligible to receive one of the three benefits in the list below:


1. Basic Death Benefit as defined above
2. Continuing monthly benefit equal to 100% of either a service connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. Service connected death benefit is based on final compensation only.
3. Basic Death Benefit plus a reduced continuing monthly benefit, as calculated by the Actuary.

There can be alternate payees, in which case the benefit must be split according to court order provided the deceased member was eligible for retirement. If the member was not eligible for retirement at the time of death, then alternate payees are not entitled to any portion of the benefit until the member would have become eligible for retirement.

#### **Minor Child (Safety, Service-Connect, Non-Violent Death)**

Where there is no surviving spouse, the surviving dependent child(ren) could receive the benefits listed below:

1. Basic Death Benefit as defined above
2. Continuing monthly benefit equal to 100% of either a service connected disability retirement allowance or a service retirement (provided the member met the

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requirements for retirement prior to death), whichever is greater. Service connected death benefit is based on final compensation only.

### 3.3.2.2 Safety, Service-Connected, Violent Death

#### Eligible Spouse/Minor Child (Safety, Service-Connect, Violent Death)

In the case of a violent death of a Safety Member, the surviving spouse and dependent child(ren) will receive the benefits listed below:

1. Basic Death Benefit as defined above
2. Continuing monthly benefit equal to 100% of either a service connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. Service connected death benefit is based on final compensation only.
3. A one-time lump-sum benefit equal to the annual compensation earnable by the deceased at his or her monthly rate of compensation at the time of his or her death.

### 3.3.2.3 No Child/Spouse

If deceased Safety Member had no spouse and there are no minor children, a lump sum payment of deceased member's Basic Death Benefit as defined above is split and paid to the beneficiaries on file. If the split to the beneficiaries is not documented, the payments will be determined by the Estate.

## 3.4 Areas of Concern


PAS must be able to calculate the 6 month active service-connected death benefit properly using **Compensation Earnable** at the time of death. PENSIONS uses only Final Compensation, which is not Compensation Earnable. Currently, FCERA has to look at pay stubs and pay data in Peoplesoft to calculate the 6 month service-connected death benefit. For Districts, the calculation is all manual from Excel spreadsheets the District sends to FCERA on paper, plus paper history cards. FCERA must ask the District to send the papers.

Manual override capability is required to accommodate special circumstances.

## 3.5 Key Business Rules

### 3.5.1 Survivor Eligibility

1. A minor child eligible to receive a survivor benefit is an unmarried child (natural or adopted child of the deceased member, or a stepchild living or domiciled with the deceased member at the time of the member's death) under the age of 18. The benefit

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can be extended until the child turns 22 provided the child remains unmarried and is regularly enrolled as a full-time student in an accredited school, as determined by the Board of Retirement. While the benefit technically is payable to the minor child, the payment is made "on behalf of" the minor to the Guardian of the Estate. In the case of a violent death of a Safety member, the payment is made payable to the guardian of the child, on behalf of the child.

Note that an adult child may be named as a beneficiary; however, applicable benefits will depend upon option selected at the time of retirement. Adult children named as beneficiary under the unmodified option are not eligible for a continuance, but will receive a return of remaining contributions, if any, provided there are no minor children eligible for a continuance.

When there are multiple children, the guardian must select the same benefit option for all the children. Note that in this scenario, the entire benefit is due to the child or children until the point at which all the children are no longer eligible. For example, if there are two children, and both are eligible for the benefit, the benefit is split between the two children. When one of the children becomes ineligible, the other would receive 100% of the benefit, rather than just 50%.

- Effective January 1, 2004, persons meeting the requirements established under Family Code 297, etc (Registered Domestic Partners) of the California statutes are provided the same benefits as a spouse. Thus, anytime the word "spouse" is used it also means "registered domestic partner".
- The term "minor child(ren)" or "dependent child(ren)" refers to biological or adopted children, and step-children domiciled with the member. Biological and adopted children do not have to be domiciled with the member.

### 3.5.2 Required Documentation


The processing of death requires certain information be received from the beneficiaries (forms filled out, certified, or signed by beneficiaries). The following section identifies the types of information that is required in order to complete the setup of a death-related benefit.

#### Information from system required to process the final payment:

Member/payee name	Member /payee SSN or ID number
Membership Type (Safety, General)	Type of death benefit
Calculation of benefit amount	Membership Status (Active)
Affidavit	Claimant's Statement
Death certificate of Member	

#### Information needed from Survivor if not already present:

Date of death	Survivor name
Survivor SSN	Relationship
Phone number of Survivor	Survivor address

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Survivor/Beneficiary Birth Certificate	
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#### **Documents required from the Survivor:**

Guardianship papers, if applicable, and blocked account documentation	Copy of Death certificate
Minor's birth certificate (if Survivor is a minor)	Survivor's birth certificate, if applicable
Copy of Marriage certificate	CA Domestic Partner registration, if applicable

#### **Information provided to or requested from other parties:**

Other parties request/provide information from/to FCERA. Member's beneficiaries notify FCERA and provide a copy of the death certificate.

#### **3.5.3 Termination of Benefits**

Monthly continuance / survivor benefits cease upon death of a member's spouse/registered domestic partner or upon death or ineligibility because of age or change in student/marital status for eligible children.

#### **3.5.4 Taxability Rules under the Pension Protection Act**

The spouse gets same tax treatment as the member; for alternate payees and minor children, the distribution is taxable.

#### **3.5.5 Currently Used Forms and Reports**

Lump sum election form  
Direct deposit form (optional)  
Tax withholding forms (Federal and State)  
Request for death certificate


### **3.6 Data Points**

Excel file containing payment information for the Bank.

## **4 Analysis and Recommendation**

Active Member deaths are the most complex death events to process. Automation in the form of "wizards", decision trees, context-aware checklists, reminders, and other tools to help the Retirement Coordinator make timely decisions will greatly improve the processing of active member deaths.



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The topic *context-aware checklist* refers to the PAS providing checklists that contain items appropriate to the member's status, classification, and type of death. This allows the Retirement Coordinator to address only those items necessary to process this death. Altering the checklists will be required for special cases.


After the PAS calculates the distribution amounts for the survivors/beneficiaries, and the Retirement Coordinator approves the payments, the PAS will create the transactions that will be sent to the Bank for payment. These transactions will be sent in the files with the other scheduled distributions.

Integration with an EDMS will expedite the processing of active member deaths.

## 5 Requirements

### Tools and Eligibility

ReqID	Process	Requirement details	Priority
502.001	Death of Active Member	The PAS will provide context-aware checklist, prompts, and other rules-based tools to assist the Retirement Coordinator in administering the Active Member Death process.	2
502.002	Death of Active Member	The PAS will provide the capability to alter checklists to accommodate changing rules and special circumstances	2
502.003	Death of Active Member	The PAS will provide the capability to pay eligible survivors a Basic Death Benefit plus a possible continuing benefit following the death of an Active member.	1
502.004	Death of Active Member	The PAS will provide the capability to include lump-sum and continuing monthly benefit payments to the survivor(s) of an active member death in the payroll file to the Bank. (The calculations for these payments are described below.)	2
502.005	Death of Active Member	To accommodate special circumstances, the PAS will provide the capability to manually override calculations and other values associated with processing an Active member death.	2
502.006	Death of Active Member	The PAS will assist the Retirement Coordinator in determining eligibility of the spouse or minor children who survive a member's service-connected death to receive a continuing benefit.	2
502.007	Death of Active Member	<p>The PAS will enforce the following rules regarding survivor eligibility.</p> <p>A spouse or Registered Domestic Partner of the member.</p> <p>A minor child eligible to receive a survivor benefit is an unmarried child (natural or adopted child of the deceased member, or a stepchild living or domiciled with the deceased member at the time of the member's death) under the age of 18. The benefit can be extended until the child turns 22 provided the child remains unmarried and is regularly enrolled as a full-time student in an accredited school, as determined by the Board of Retirement. While the benefit technically is payable to the minor child, the payment is made "on behalf of" the minor to the Guardian of the Estate. In the case of a violent death of a Safety</p>	2

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ReqID	Process	Requirement details	Priority
		<p>member, the payment is made payable to the guardian of the child, on behalf of the child.</p> <p>An adult child may be named as a beneficiary; however, applicable benefits will depend upon option selected at the time of retirement. Adult children named as beneficiary under the unmodified option are not eligible for a continuance, but will receive a return of remaining contributions, if any, provided there are no minor children eligible for a continuance.</p> <p>When there are multiple children, the guardian must select the same benefit option for all the children. Note that in this scenario, the entire benefit is due to the child or children until the point at which all the children are no longer eligible. For example, if there are two children, and both are eligible for the benefit, the benefit is split between the two children. When one of the children becomes ineligible, the other would receive 100% of the benefit, rather than just 50%.</p> <p>Effective January 1, 2004, persons meeting the requirements established under Family Code 297, etc (Registered Domestic Partners) of the California statutes are provided the same benefits as a spouse. Thus, anytime the word "spouse" is used it also means "registered domestic partner".</p> <p>The term "minor child(ren)" or "dependent child(ren)" refers to biological or adopted children, and step-children domiciled with the member. Biological and adopted children do not have to be domiciled with the member</p>	
502.008	Death of Active Member	<p>The PAS will provide context-aware checklists for processing the death of an active member. These checklists will include, at a minimum, the items listed below:</p> <p><b>Information from system required to process the final payment:</b></p> <p>Member/payee name  Member /payee SSN or ID number  Membership Type (Safety, General, tier)  Type of death benefit  Calculation of benefit amount  Membership Status (Active)  Claimant's Statement  Affidavit  Death certificate of Member</p> <p><b>Information needed from Survivors/Beneficiaries if not already present:</b></p> <p>Date of death  Survivor name  Survivor SSN  Relationship  Phone number of Survivor</p>	2

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ReqID	Process	Requirement details	Priority
		<p>Survivor address  Marriage certificate. (FCERA will not process the benefit until after it receives a certified copy of the Marriage Certificate.)  Survivor/Beneficiary Birth Certificate</p> <p><b>Documents required from the Survivors/Beneficiaries:</b></p> <p>Guardianship papers, if applicable, and blocked account documentation  Copy of Death certificate  Minor's birth certificate (if Survivor is a minor)  Survivor's birth certificate, if applicable  Copy of Marriage certificate  CA Domestic Partner registration, if applicable  Divorce documents (decree, DRO, etc.)</p>	
502.009	Death of Active Member	The PAS will provide integration with EDMS to support efficient collection, retrieval, and examination of documents that support active member death processing.	2

### Basic Death Benefit Calculation

ReqID	Process	Requirement details	Priority
502.010	Death of Active Member	<p>The PAS will calculate the Basic Death Benefit available to the survivors of an Active deceased member as follows:</p> <p>The member's accumulated contributions plus interest, plus</p> <p>An amount equal to one-twelfth of the annual compensation earnable by the deceased during the 12 months immediately preceding his death, multiplied by the number of completed years of service under the FCERA, but not to exceed 50% of <b>annual compensation earnable at the time of death.</b></p>	1

### Service-connected Death of a General Member before Retirement

ReqID	Process	Requirement details	Priority
502.011	Death of Active Member	The PAS will provide the capability to designate a death of an active General member as <b>service-connected.</b>	2
502.012	Death of Active Member	The PAS will provide the capability to pay the Basic Death Benefit to the eligible spouse or beneficiaries of an active <b>General member's service-connected death.</b> There is no vesting requirement for the Basic Death Benefit in the case of a service-connected death.	2
502.013	Death of Active Member	The PAS will assist the Retirement Coordinator in determining eligibility of the spouse or minor children who survive a General member's service-connected death to receive a continuing benefit.	2


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	<b>Death of Active Member</b>	

<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
502.014	Death of Active Member	For the eligible surviving spouse of a General member's service-connected death, the PAS will calculate a continuing monthly benefit equal to 100% of either a service connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. Service-connected continuing benefit is based only on the final compensation of the deceased member.	2
502.015	Death of Active Member	For eligible alternate payees, the PAS will provide capability to split the Basic Death Benefit and/or the continuing benefit according to court order, provided the deceased member was eligible for retirement. If the member was not eligible for retirement at the time of death, then alternate payees are not entitled to any portions of the benefits until the member would have become eligible for retirement, unless otherwise agreed by the parties to the DRO.	2
502.016	Death of Active Member	The PAS will provide the capability to pay eligible minor children a continuing monthly benefit equal to 100% of either a service connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. Service-connected continuing benefit is based only on the final compensation of the deceased member.	2
502.017	Death of Active Member	The PAS will provide the capability to pay the eligible minor child the continuing benefit up to age 18, or age 22 as long as the child remains a full time student and unmarried.	2
502.018	Death of Active Member	The PAS will provide a capability that reminds FCERA to verify a child's eligibility at certain dates.	2
502.019	Death of Active Member	The PAS will provide the capability to stop the continuance to a minor child when the child becomes ineligible.	2
502.020	Death of Active Member	The PAS will issue payments to a minor child to a blocked deposit account that is under control of Court until the child reaches age 18.	2
502.021	Death of Active Member	The PAS will enforce the rule that an ex-spouse has no right to the minor child benefit.	2
502.022	Death of Active Member	If the deceased member was not married and had no minor children, the PAS will split and pay to beneficiaries on file a lump sum distribution of deceased member's Basic Death Benefit, and Contributions plus interest. If the beneficiaries are not documented, the PAS will make the payment to the member's Estate.	2

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### Non-Service connected Death of a General or Safety Member before Retirement

ReqID	Process	Requirement details	Priority
502.023	Death of Active Member	The PAS will provide the capability to designate a death of an <b>active</b> General or Safety member as <b>non service-connected</b> .	2
502.024	Death of Active Member	The PAS will provide the capability to pay the Basic Death Benefit to the eligible spouse or beneficiaries of a <b>General or Safety member's active non- service-connected death</b> .	2
502.025	Death of Active Member	<p>If the active General or Safety member who has died of a <b>non-service connected</b> cause had at least five years of service (excluding any public service credit purchased, but including reciprocal service), the PAS will provide the capability for the member's surviving spouse to elect to receive one of the three benefits listed below, or the member's dependent child(ren) will receive either of the first two benefits listed below as elected by the guardian of the child(ren):</p> <ol style="list-style-type: none"> <li>1. Basic death benefit as described above</li> <li>2. Continuing monthly benefit equal to 60% of either a non-service connected disability retirement allowance or a service retirement allowance (provided the member met the requirements for retirement prior to death) whichever is greater. (Note: The calculation of the non-service connected disability allowance is described in the Disability process document. The calculation of the service retirement allowance is described in the Retirement Benefit Options process document. )</li> <li>3. Basic Death Benefit plus a reduced continuing monthly benefit as calculated by the Actuary.</li> </ol>	2
502.026	Death of Active Member	If the deceased active General or Safety member who died of <b>non-service connected</b> cause was not married, had no minor children, or did not have at least five years of service, the PAS will split the basic death benefit and a lump sum distribution of deceased member's contribution plus interest to the beneficiaries on file. If there are no beneficiaries documented, the PAS will make the payment to the member's Estate.	2
502.027	Death of Active Member	If the deceased active General or Safety member who died of <b>non-service connected</b> cause had less than five years of service (excluding any public service credit purchased, and including reciprocal service) or the member's survivor is not the member's surviving spouse or dependent child(ren), the PAS will provide the capability to pay the member's survivor the basic death benefit and a lump sum distribution of deceased member's Contributions plus interest.	2


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### Death of a Safety Member before Retirement

ReqID	Process	Requirement details	Priority
502.028	Death of Active Member	The PAS will provide the capability to designate a death of an active <b>safety</b> member as <b>non-violent service-connected</b> .	2
502.029	Death of Active Member	The PAS will provide the capability to designate a death of an active <b>safety</b> member as <b>violent service-connected</b> .	2
502.030	Death of Active Member	<p>The PAS will provide the capability to pay the surviving spouse of an active <b>Safety member who died a non-violent service connected death</b> one of the three benefits listed below:</p> <p>The Basic Death Benefit.</p> <p>A continuing monthly benefit equal to 100% of either a service connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. Service connected death benefit is based on final compensation only.</p> <p>The Basic Death Benefit plus a reduced continuing monthly benefit, as calculated by the Actuary</p>	2
502.031	Death of Active Member	If the Safety member who died of a <b>non-violent service connected death</b> had alternate payees, the PAS will split the benefit according to court order provided the deceased member was eligible for retirement. If the Safety member was not eligible for retirement at the time of service connected non-violent death, then alternate payees are not entitled to any portion of the benefit until the member would have become eligible for retirement	2
502.032	Death of Active Member	<p>Where there is no surviving spouse, the PAS will provide the capability to allow the surviving dependent child(ren) of a Safety member who died of a <b>non-violent service-connected death</b> to receive the benefits listed below:</p> <p>The Basic Death Benefit.</p> <p>A continuing monthly benefit equal to 100% of either a service connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. Service connected death benefit is based on final compensation only.</p>	2

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ReqID	Process	Requirement details	Priority
502.033	Death of Active Member	<p>In the case of a <b>violent death of a Safety Member</b>, the PAS will provide the capability to pay the surviving spouse and dependent child(ren) the benefits listed below:</p> <p>The Basic Death Benefit.</p> <p>A continuing monthly benefit equal to 100% of either a service connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. Service-connected death benefit is based on final compensation only.</p> <p>A one-time lump-sum benefit equal to the annual compensation earnable by the deceased at his or her monthly rate of compensation at the time of his or her death.</p> <p>The Basic Death Benefit plus a reduced continuing monthly benefit, as calculated by the Actuary</p>	2
502.034	Death of Active Member	<p>If the deceased Safety Member who died of a <b>violent service-connect death</b> had no spouse and there are no minor children, the PAS will provide the capability to split a lump sum payment of deceased member's Basic Death Benefit to the beneficiaries on file. If the split to the beneficiaries is not documented, the payments will be determined by the Estate.</p>	2

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	Death of Deferred Member	

## 4.4.502 Death of Deferred Member

### 1 Overview

The primary objective of the Death of Deferred Member process is to receive and process the application for FCERA death benefit when the deceased member of FCERA had elected deferred retirement. This process is also used for Inactive members and members in Suspense status.

Continuing Survivor Benefits are not available to the member's beneficiary in the event of the deferred member's death before retirement.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who are responsible for day-to-day administration of the retirement program. Retirement Coordinators serve members directly.
Accounting	The group of individuals at FCERA who are responsible for financial administration.
Files	The collection of paper documents associated to members. Files can contain document having to do with enrollment, all correspondence with the member, address changes, employment history, retirement estimates, and a plethora of other documents.

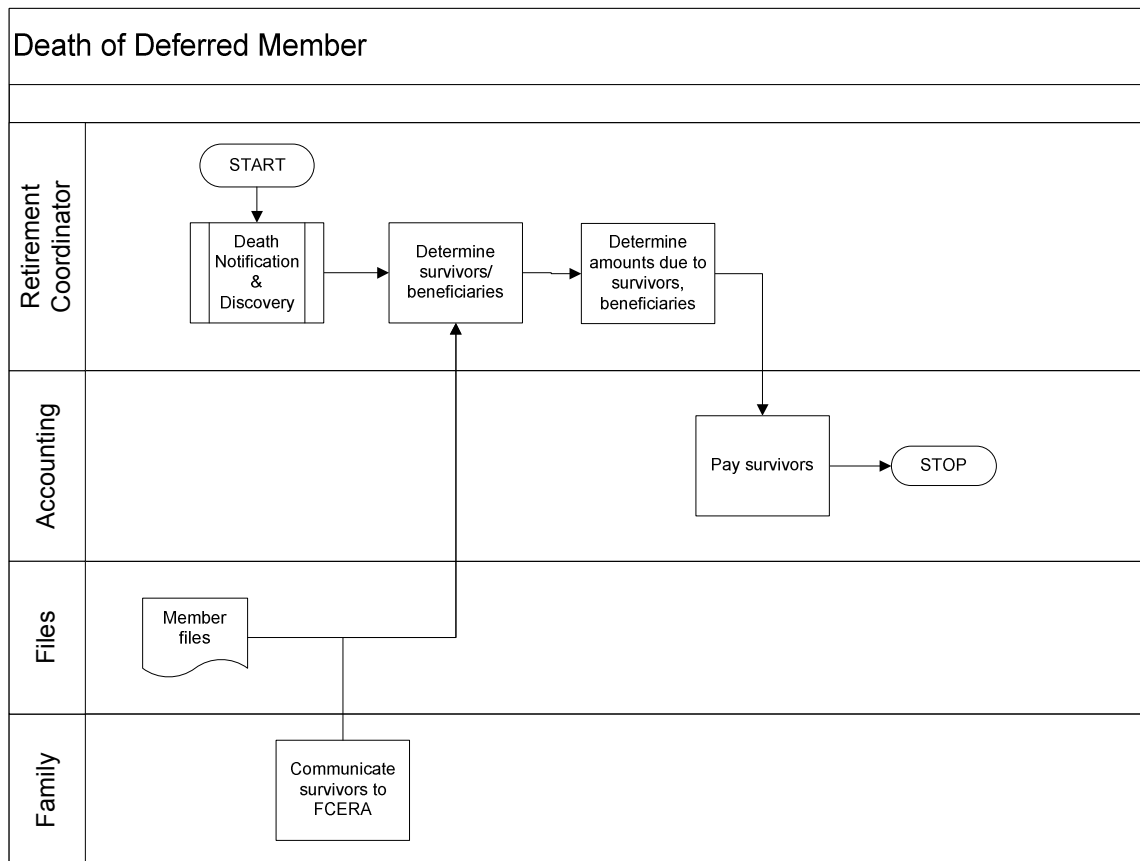
### 3 Process Overview

#### 3.1 Process Scope

The process for the death of a deferred member begins when FCERA learns of the death. The process ends when the proper payment has been made to the deferred member's named beneficiaries or to the member's Estate.

#### 3.2 Process Flow





### 3.3 Process Steps


In general, the process steps for deferred member death processing are

1. Retirement Coordinator learns of deferred member's death, including members in suspense status and inactive members.
2. Retirement Coordinator determines and verifies survivors/beneficiaries.
3. Retirement Coordinator calculates amounts due to survivors, per instructions on beneficiary forms.
4. Retirement Coordinator directs the Accounting Unit to pay the survivor(s).

### 3.4 Areas of Concern

Manual override capability is required to accommodate special circumstances.

Except through purposeful research, there is no way for FCERA to know the amount of time that has passed since the last communication with members' survivors. The PAS will provide alerts when 5 years have passed since the last communication with members' survivors.

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### 3.5 Key Business Rules

A deferred member's survivors/beneficiaries will receive the member's accumulated contributions plus interest to the date of the last interest posting.

If the survivors are deceased or monies are unclaimed within 5 years, the monies return to FCERA.

All correspondence with survivors/beneficiaries is mailed certified with return receipt requested.

#### 3.5.1 Required Documentation

The processing of death benefits requires certain information be received from the beneficiaries (forms filled out, certified, or notarized and signed by beneficiaries). The following section identifies the types of information that is required in order to complete the setup of a deferred member death payment.

##### Information from system required to process benefit:

Member/payee name	Member /payee SSN
Membership Type (Safety, General)	Type of death benefit
Calculation of benefit amount	Membership Status

##### Information needed from beneficiary if not already present:

Date of death	Beneficiary name
Beneficiary SSN	Relationship
	Beneficiary address


##### Documents required from the beneficiary:

Guardianship papers, if applicable	Certified copy of Death certificate
Minor's birth certificate (if beneficiary is a minor)	Beneficiary's birth certificate, if applicable
Copy of Marriage certificate, if not on file. FCERA will not process the benefit until a copy of the Marriage Certificate has been received.	CA Domestic Partner registration, if applicable

##### Information provided to beneficiary:

Request for additional documents/Condolence Letter with the following information and/or attachments

- Lump sum election form
- Direct deposit form (optional)
- Tax withholding forms (Federal and State)
- Request for death certificate

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### 3.5.2 Taxability Rules under the Pension Protection Act

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All payments of pre-tax contributions plus interest are taxable.

### 3.5.3 Domestic Partnership Eligibility

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Effective January 1, 2004, persons meeting the requirements established under Family Code 297, etc (Registered Domestic Partners) of the California statutes are provided the same benefits as a spouse. Thus, anytime the word “spouse” is used it also means “registered domestic partner”.

### 3.5.4 Currently Used Forms and Reports

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Lump sum election form

Direct deposit form (optional)

Tax withholding forms (Federal and State)

Request for death certificate

## 3.6 Data Points

Excel file containing payment information for the Bank.

## 4 Analysis and Recommendation


The processing of the death of a member in Deferred Status is the most straight-forward of the various death processes. Recommendations fall into three areas: context-aware checklists, interface with the Bank for payment, and EDMS integration.

The topic *context-aware checklist* refers to the PAS providing checklists that contain items appropriate to the member’s status and classification. This allows the Retirement Coordinator to address only those items necessary to process this member. Altering the checklists will be required for special cases.

The checklists also promote prompt updating of deceased members, which supports audit compliance and actuarial accuracy.

After the PAS calculates the distribution amounts for the survivors/beneficiaries, and the Retirement Coordinator approves the payments, the PAS will create the transactions that will be sent to the Bank for payment. These transactions will be sent in the file with other lump-sum distributions.


Integration with an EDMS will expedite the processing of deferred member deaths.

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## 5 Requirements

The table below list requirements for processing the death of a deferred member (including Inactive and Suspense members).

ReqID	Process	Requirement details	Priority
502.041	Death of Deferred Member	The PAS will provide the capability to process the death of a deferred member.	1
502.042	Death of Deferred Member	The PAS will provide the capability to determine the deferred member classification (General or Safety).	2
502.043	Death of Non-Member	The PAS will consider "domestic partnership", "registered domestic partner", and "spouse" to be equal and synonymous.	2
502.044	Death of Deferred Member	The PAS will apportion the deceased deferred member's contributions plus interest to survivor and/or beneficiaries. The sum of the apportions will not exceed 100% of the total benefit.	2
502.045	Death of Deferred Member	The PAS will pay the deceased deferred member's contributions plus interest to the member's Estate, if there are no survivors/beneficiaries.	2
502.046	Death of Deferred Member	The PAS will provide the capability for FCERA to approve the distributions prior to the transactions being sent to the Bank for payment.	2
502.047	Death of Deferred Member	The PAS will provide the capability to alert FCERA when 5 years have passed since the last communication with the member's survivors/beneficiaries.	2
502.048	Death of Deferred Member	The PAS will provide manual override capability on all data fields relevant to process deferred member deaths.	2
502.049	Death of Deferred Member	<p>The PAS will provide context-aware checklists for processing the death of a deferred member. These checklists will include, at a minimum, the items listed below:</p> <p><b>Information from system required to process benefit:</b></p> <p>Member/payee name  Member /payee SSN  Membership Type (Safety, General)  Type of death benefit  Calculation of benefit amount  Membership Status</p> <p><b>Information needed from beneficiary if not already present:</b></p> <p>Date of death  Beneficiary name  Beneficiary SSN  Relationship  Beneficiary address</p> <p><b>Documents required from the beneficiary:</b></p> <p>Guardianship papers, if applicable  Certified copy of Death certificate</p>	2

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	<b>Death of Deferred Member</b>	

<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
		Minor's birth certificate (if beneficiary is a minor) Beneficiary's birth certificate, if applicable Copy of Marriage certificate CA Domestic Partner registration, if applicable	
502.050	Death of Deferred Member	The PAS will provide integration with EDMS to support efficient collection, retrieval, and examination of documents that support deferred member death processing.	2
502.051	Death of Deferred Member	The PAS will provide the capability to tailor the content of the death processing checklists for deferred members.	2
502.052	Death of Deferred Member	The PAS will provide the capability to manually override the calculated payment amounts to survivor/beneficiaries, along with other values, to accommodate special situations.	2

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## 4.4.502 Death of Non Member

### 1 Overview

The primary objective of the Non Member Death process is to process the death event when the deceased is a not a member of FCERA and is receiving a benefit from FCERA. The process is also used to stop benefits paid to an alternate payee who is receiving benefits from a DRO.

Non-Member Benefits are available to Beneficiaries and DRO parties.

The use of this process implies that the member linked to the deceased non-member was retired and receiving a continuing benefit.

### 2 Roles

PAS Role Name	Definition
Payroll Unit	The group within FCERA who is responsible for coordinating payment instructions with the Bank.
Retirement Coordinator	The individuals at FCERA who serve members. Retirement Coordinators are the day-to-day users of the PAS and interact the members more than other staff at FCERA.

### 3 Process Overview

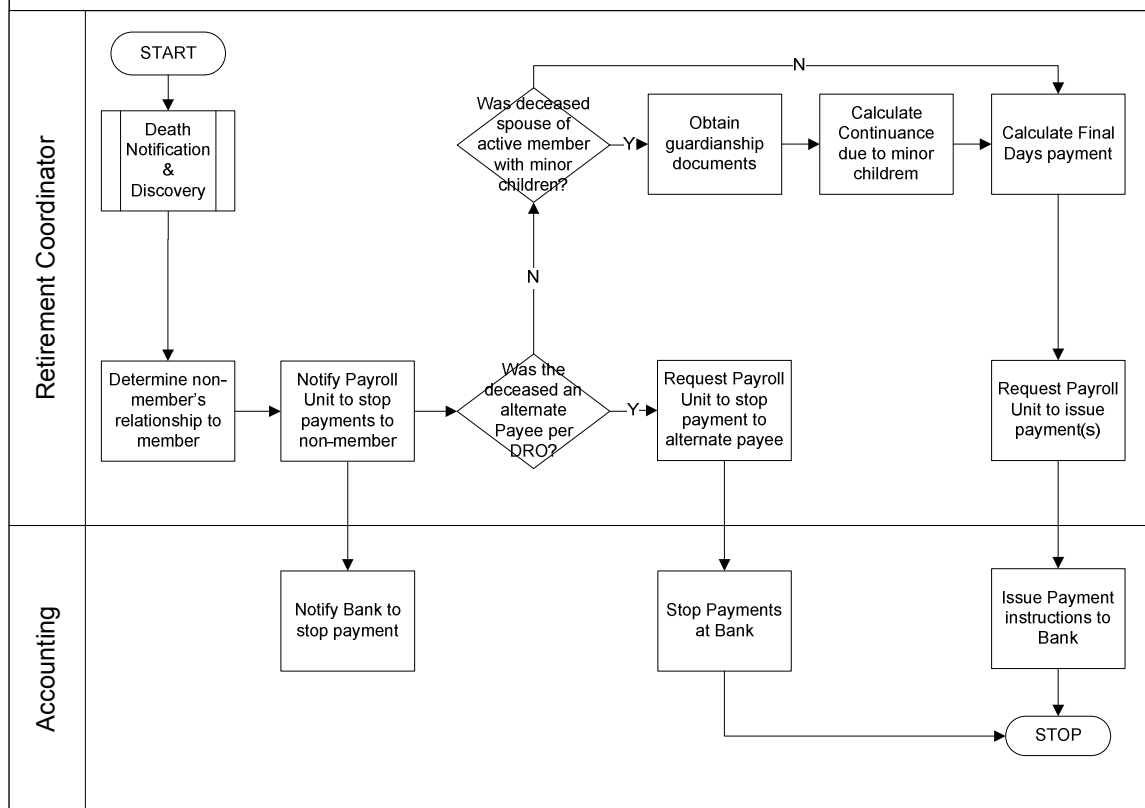
#### 3.1 Process Scope

The Death of a Non-Member process begins when FCERA learns of the death of a non-member who is receiving benefit as a survivor or beneficiary of a preceding member's death. The process ends when the benefit payments are stopped.

The use of this process implies that the member to whom the deceased non-member is linked is receiving continuing benefit.

#### 3.2 Process Flow


## Death of a Non-Member Payee



### 3.3 Process Steps

Non-members can receive benefits following the death of a member based on the presence of eligible beneficiaries and/or DRO instructions.

1. Retirement Coordinator learns of the death on a non-member who is receiving benefit from FCERA.
2. Retirement Coordinator determines whether the deceased was a spouse, spouse with minor children, a spouse only, an alternate payee from a DRO, or some other type of beneficiary.
3. The Retirement Coordinator notifies the Payroll Unit to stop payment to the payee. The Payroll Unit notifies the Bank.
4. If the deceased was the spouse of the member and there were no minor children, the payments are stopped permanently.
5. If the deceased is an alternate payee resulting from a DRO, the Retirement Coordinator will request the Payroll Unit to redirect the payment in accordance with the directions specified in the DRO. The Payroll Unit will instruct the Bank

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accordingly. Assuming the member did not take Option IV, the payments will continue to the Estate of the former spouse as long as the member is alive. If Option IV was elected, the payment stream on behalf of the alternate payee ceases at the death of the alternate payee.

6. If the deceased was the spouse of an active member with minor children, the Retirement Coordinator
  - a. Requests the following from the child's guardian
    - i. Letter of guardianship of the minor child's Estate
    - ii. Direct Deposit form to the minors' blocked accounts
    - iii. Tax Withholding
    - iv. Death certificate the deceased
    - v. Birth certificate of the minor child(ren)
  - b. Calculates any continuance due to minor children
  - c. Ensures the deceased name and the names of the minor children are linked to the original member, once all paperwork is received
  - d. Requests the Payroll Unit to set up payments to the minor children. The Payroll Unit instructs the Bank on how to make payments.
7. Retirement Coordinator will calculate any Final Days payment due to the deceased spouse's Estate, the minor children's Estates, or the deceased ex-spouse's Estate.
8. Retirement Coordinator will request the Final Days payment to be issued through the Payroll Unit, who will instruct the Bank appropriately.

### 3.4 Areas of Concern

Deaths involving minor child are complicated because the Courts are involved.

Deaths involving DROs are complicated because of legal proceedings.


Manual override capability is required to accommodate special circumstances.

If deceased member is having dues deducted for REFCO, the Accounting Unit will notify REFCO.

### 3.5 Key Business Rules

1. Payments made to unclaimed Estates are returned to FCERA after 5 years.
2. FCERA is not permitted to make direct payment to the beneficiary of a non-member. The payments will go to the Estate of the deceased.
3. Payments to the Estate of an ex-spouse will stop upon the death of the current spouse unless the ex-spouse is named as a beneficiary or the member elected Option IV naming the ex-spouse as the alternate payee.



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4. If beneficiaries are deceased or monies are unclaimed within 5 years, the monies return to FCERA.
5. All correspondence with survivors/beneficiaries is mailed certified with return receipt requested.
6. Domestic Partnership Eligibility. Effective January 1, 2004, persons meeting the requirements established under Family Code 297, etc (Registered Domestic Partners) of the California statutes are provided the same benefits as a spouse. Thus, anytime the word "spouse" is used it also means "registered domestic partner".

### 3.5.1 Required Documentation

The processing of a non-member death requires certain information be received from the beneficiaries (forms filled out, certified, notarized, and/or signed by beneficiaries). The following section identifies the types of information that is required in order to complete the processing of a non-member death event.

#### Information required to process the final payment:

Payee name	Payee SSN
Membership Type (Safety, General)	Affidavit
Death certificate of deceased non-member	Claimant's Statement
Tax withholding information, if applicable	

### 3.5.2 Termination of Benefits

Monthly continuance benefits cease upon death of the member's spouse/registered domestic partner, or upon death or ineligibility of minor children because of age or change in student/marital status unless an alternate payee is named as a beneficiary or an Option IV was selected naming the alternate payee.

### 3.5.3 Taxability Rules under the Pension Protection Act


All FCERA benefits are taxable except those for a service-connected disability retired death, in which case the portion of the continuance up to 50% of final compensation of member is non-taxable to the eligible spouse. The Health Benefits and supplemental benefit, as well as the benefit in excess of 50% of Final Compensation, is taxable.

Non-taxability applies only to the spouse and does not follow to alternate payees or minor children.

### 3.5.4 Currently Used Forms and Reports

Death certificate of deceased non-member

Claimants Statement

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Tax withholding information, if applicable

### 3.6 Data Points

Payroll interface file to the Bank.

## 4 Analysis and Recommendation

Aside from accommodating the business rules around continuances, spouse and minor-child eligibility, and DRO instructions, recommendations for non-member death processing fall into three areas: context-aware checklists, interface with the Bank for payment, and EDMS integration.

The topic *context-aware checklist* refers to the PAS providing checklists that contain items appropriate to the member's status and classification. This allows the Retirement Coordinator to address only those items necessary to process this death. Altering the checklists will be required for special cases.


After the PAS calculates the distribution amounts for the survivors/beneficiaries, and the Retirement Coordinator approves the payments, the PAS will create the transactions that will be sent to the Bank for payment. These transactions will be sent in the file with other lump-sum distributions.

Integration with an EDMS will expedite the processing of deferred member deaths.


## 5 Requirements

The table below list requirements for processing the death of a non-member payee.

ReqID	Process	Requirement details	Priority
502.061	Death of Non-Member	The PAS will provide the capability to process the death of a non-member payee.	1
502.062	Death of Non-Member	The PAS will provide the capability for FCERA to determine whether the non-member payee was a spouse, a spouse with minor children, a spouse only, an alternate payee from a DRO, or some other type of beneficiary.	2
502.063	Death of Non-Member	The PAS will consider "domestic partnership", "registered domestic partner", and "spouse" to be equal and synonymous.	2
502.064	Death of Non-Member	The PAS will provide the capability for FCERA to redirect payments from a deceased alternate payee to payee(s) specified in the DRO.	2
502.065	Death of Non-Member	The PAS will allow continuance payments to continue to the Estate of a former spouse as long as the member is alive. Assuming the member did not take Option 4, the payments will continue to the Estate of the former spouse as long as the member is alive. If Option IV was elected, the payment stream on behalf of the alternate payee ceases at the death of the alternate payee.	2
502.066	Death of Non-Member	The PAS will provide checklists to assist in the collection of required documentation when the deceased was the spouse of an active member with minor children:  Letter of guardianship of the minor child's Estate Direct Deposit form to the minors' blocked accounts	2

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	<b>Death-Non Member</b>	

<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
		Tax Withholding Death certificate the deceased Birth certificate of the minor child(ren)	
502.067	Death of Non-Member	The PAS will provide checklists to assist in the collection of documents and information supporting the process of a non-member payee death: Payee name Payee SSN Membership Type (Safety, General) Affidavit Death certificate of deceased non-member Claimant's Statement Tax withholding information, if applicable	2
502.068	Death of Non-Member	The PAS will calculate continuance due to minor children.	2
502.069	Death of Non-Member	The PAS will provide the capability to link the deceased's name, and the names of minor children if any, to the account of the original member.	2
502.070	Death of Non-Member	The PAS will provide the capability to calculate final days' payment due to the deceased spouse's estate, the minor children's estate, or the deceased ex-spouse's estate.	2
502.071	Death of Non-Member	The PAS will prevent a payment from being made directly to the beneficiary of a non-member payee. The payments will go to the estate of the deceased.	2
502.072	Death of Non-Member	The PAS will provide the capability to stop further monthly continuance payments to the estate of the ex-spouse upon the death of the current spouse unless the ex-spouse is named as a beneficiary or the member elected Option 4 naming the ex-spouse as the alternate payee.	2
502.073	Death of Non-Member	The PAS will provide the capability to stop further monthly continuance benefits upon the death of the member's spouse/registered domestic partner, or upon death or ineligibility of minor children because of age or change in student/marital status, unless an alternate payee is named as a beneficiary or an Option IV was selected naming the alternate payee.	2
502.074	Death of Non-Member	The PAS will provide the capability for FCERA to reclaim unclaimed benefits payable to the estates of deceased beneficiaries after 5 years.	2
502.075	Death of Non-Member	The PAS will provide the capability for FCERA to reclaim unclaimed benefits payable to deceased beneficiaries after 5 years.	2
502.076	Death of Non-Member	The PAS will calculate taxable and non-taxable portions of benefits properly.	2
502.077	Death of Non-Member	The PAS will provide integration with EDMS to support efficient collection, retrieval, and examination of documents that support non-member death processing.	2
502.078	Death of Non-Member	The PAS will provide the capability to manually override calculations and other information pertaining to the death of a non-member payee.	2

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## 4.4.502 Death Processing – Notification & Discovery

### 1 Overview

The primary objective of the Death Notification and Discovery process is to learn of a member's death or the death of a member's survivor/beneficiary who is receiving benefits from FCERA.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who are responsible for serving members. Retirement Coordinators are the day-to-day users of the PAS and have the most interaction with members.
Office Assistant	Clerical staff at FCERA responsible for answering phones, handling mail, filing, etc
Member's Beneficiary	The person(s) having legal right to the member's benefit or contributions balance at FCERA in the event of the member's death.

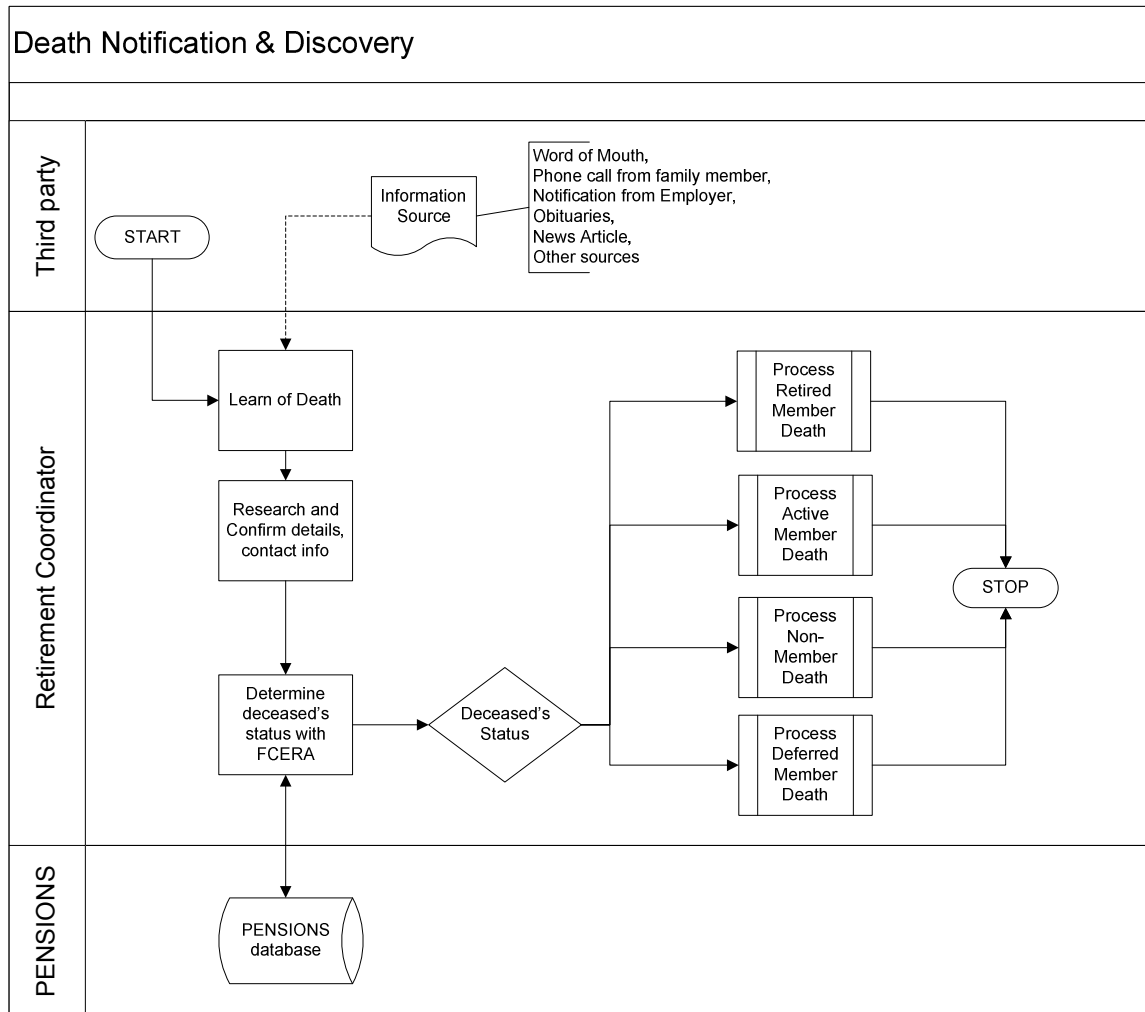
### 3 Process Overview

#### 3.1 Process Scope

The Death Notification and Discovery process begins with FCERA learning of a member's or a payee's death. The process ends when the information has been confirmed and the member's or payee's status within FCERA has been determined.


Within each type/status combination, different benefit options are available depending on member's status (active, retired, deferred), retirement option, cause of death, membership type, and vesting status. The benefits are detailed in separate documents for Retired Death, Active Death, Deferred Death, and Non-Member Death.

#### 3.2 Process Flow



### 3.3 Process Steps

1. FCERA can learn of a member's or payee's death through multiple ways.
  - a. Phone call from a family member, friend, or a person having power of attorney for the member and/or beneficiary
  - b. By word of mouth
  - c. Small World Solutions Report, run on-demand (currently weekly)
  - d. Notification from the Employer, most commonly for active members as the biweekly payroll is affected
  - e. Newspaper obituaries that are matched to member files and retiree payroll names
  - f. News articles
2. Retirement Coordinator researches the deceased name, date of death, contact information of person notifying (telephone and address, relationship)

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3. Retirement Coordinator determines status within FCERA of deceased and proceeds with the appropriate processing. Each of these situations is described in its own process document:
  - a. Retired Member
  - b. Active Member
  - c. Deferred Member
  - d. Non-Member, such as alternate payees, survivor/spouse, survivor/spouse with minor child

### **3.4 Areas of Concern**

Timeliness is critical for those already receiving a retirement allowance since delayed notification can lead to overpayment of benefits.

It is not yet known how often the Small World Solutions data will be pulled to FCERA, although FCERA can pull it as frequently as desired. Likewise, the electronic data format to support importing into the PAS is not yet known.

### **3.5 Key Business Rules**

#### **3.5.1 Domestic Partnership Eligibility**

Effective January 1, 2004, persons meeting the requirements established under Family Code 297, etc (Registered Domestic Partners) of the California statutes are provided the same benefits as a spouse. Thus, anytime the word “spouse” is used it also means “registered domestic partner”.

#### **3.5.2 Currently Used Forms and Reports**

Electronic obituary file from Small World Solutions


### **3.6 Data Points**

Electronic obituary file from Small World Solutions

## **4 Analysis and Recommendation**

The general flow of Notification and Discovery process will remain as it is currently. Capabilities of a future PAS to support this process should include:

- Efficient retrieval, review, update of the deceased’s information

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- Determining the deceased's relationship with FCERA
- Marking the member or non-member payee as deceased (this is a very important step for both audit and actuarial reasons, and must be done promptly once the death has been verified).
- Checklists appropriate to the deceased's relationship with FCERA

The recommendations specific to deaths for each member status (Active, Retired, Deferred, Non-Member) are detailed in separate documents.

## 5 Requirements

The table below lists requirements for responding to FCERA learning of the death of a member or non-member payee.

ReqID	Process	Requirement details	Priority
502.091	Death Notification	The PAS will provide the capability to review the deceased's records at FCERA in support of processing the death.	2
502.092	Death Notification	The PAS will provide the capability to determine the deceased's status with FCERA.	2
502.093	Death Notification	The PAS will provide the capability to mark a member as deceased.	2
502.094	Death Notification	The PAS will provide the capability to mark a non-member payee as deceased.	2
502.095	Death Notification	The PAS will provide the capability to initiate death processing based on the member's status within FCERA.	1
502.096	Death Notification	The PAS will provide the capability to initiate death processing on a non-member payee within FCERA.	1
502.097	Death of Non-Member	The PAS will consider "domestic partnership", "registered domestic partner", and "spouse" to be equal and synonymous.	2
502.098	Death Notification	The PAS will provide context-aware checklists for processing the death of a member. The content of the checklists will be appropriate to the member's status, classification, marital status, and other information about the member that may be contained in the PAS.	2
502.099	Death Notification	The PAS will provide context-aware checklists for processing the death of non-member payee. The content of the checklists will be appropriate to the non-member payee's relationship to the linked member and other information about the non-member payee that may be contained in the PAS.	2
502.100	Death Notification	The PAS will provide the capability to tailor the content of the death processing checklists.	2

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## 4.4.502 Death of Retired Member

### 1 Overview

The primary objective of the Retired Death process is to receive and process the application for FCERA death benefit when the deceased is a retiree of FCERA.

Benefits are available to the member's beneficiary in the event of the member's death after retirement.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who are responsible for serving members. Retirement Coordinators are the day-to-day users of the PAS and have the most interaction with members.
Office Assistant	Clerical staff at FCERA responsible for answering phones, handling mail, filing, etc
Member's Beneficiary	The person(s) having legal right to the member's benefit or contributions balance at FCERA in the event of the member's death.
Spouse or Domestic Partner	The person who is legally married to the member under the laws of California, to include registered Domestic Partner

### 3 Process Overview


#### 3.1 Process Scope

The Death process begins after FCERA learns of the member's death and ends when the benefit amount is transferred to the FCERA payroll.

In addition to paying benefits due in a correct and timely fashion, the following additional goals are evident in the process:

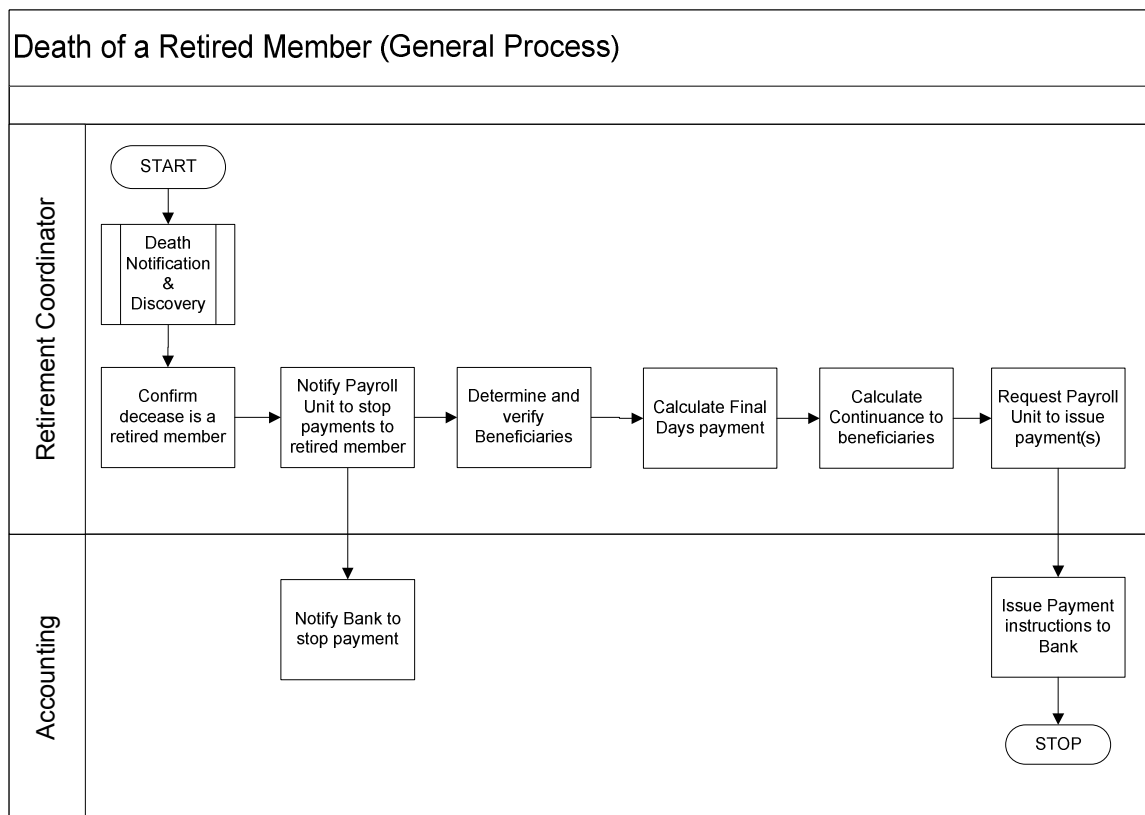
1. The correct and timely termination of benefits to the deceased member;
2. The correct and timely return of any and all benefit overpayments
3. The correct and timely payment of any underpayments
4. The correct and timely processing in all other areas affected due to the death of a member or survivor, including such things as:



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- a. Beneficiary designation
- b. Benefit payments
- c. Benefit repayments
- d. Continuances / Survivorships
- e. Refund of contributions
- f. Payroll processing (stopping the retiree benefit payment, starting new continuances when appropriate, and initiating Final Days payment)
- g. Return of overpayment of retiree benefit

### 3.2 Process Flow



### 3.3 Process Steps

There are multiple elements to activities that surround members' deaths. The most important element is ensuring that any payments to beneficiaries are computed correctly and efficiently. This is not always an easy set of tasks, given that deaths are unpredictable and notifications of members' deaths can be even more unpredictable.

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In general, the process steps for retired death processing are


1. Retirement Coordinator learns of a member's death.
2. Retirement Coordinator confirms that the death was of a retired member.
3. Retirement Coordinator informs the Payroll Unit to instruct the Bank to stop retirement benefit payments to the deceased.
4. Retirement Coordinator determines and verifies beneficiaries.
5. Retirement Coordinator calculates the payment to beneficiaries for deceased member's Final Days and, if applicable, calculates the continuance payments to the beneficiaries.
6. Retirement Coordinator requests the Bank to issue payment to beneficiaries for the deceased member's final days.
7. If applicable, Retirement Coordinator instructs Payroll Unit to start continuance payments to the beneficiaries. Payroll Unit instructs the Bank to start the payments.

The details of each type of retiree death process are discussed in the following paragraphs.

### **3.3.1 Retired Basic Continuance, Service Retirement**

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1. The Retirement Coordinator reviews the deceased member's file.
2. Retirement Coordinator instructs the Payroll Unit to discontinue payments to deceased member. The Payroll Unit instructs the Bank to discontinue payments.
3. The Retirement Coordinator calculates final days pay for deceased member and continuance for the beneficiaries.
4. The Retirement Coordinator sends a condolence letter to the beneficiary and attaches the following:
  - a. Direct deposit form (only if the benefit is a continuance)
  - b. Federal and State Tax withholding forms for Final Days payment
  - c. Request for death certificate
  - d. Request for marriage certificate, if no marriage certificate is on file
  - e. Request for birth certificate of beneficiaries, if the birth certificates are not on file already
5. Once the paperwork above is received, the Retirement Coordinator adds the beneficiary to the Excel death report.
6. Retirement Coordinator communicates the payment amounts and the payees to the Payroll Unit.
7. Payroll Unit adds the payee to payroll and terminates the deceased member.
8. The Bank starts payment to beneficiaries.

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### 3.3.2 Retired Continuance, Service Connected Disability

The steps for processing the death of a member who is retired for service-connected disability are the same as for the death of a member retired on basic service continuance.

The continuance to a spouse retains the same taxability as the retiree's. The continuance for alternate payees will be taxable.

### 3.3.3 Retired Continuance, Non-Service Connected Disability

The steps for processing the death of a member who is retired for non-service-connected disability are the same as for the death of a member retired on basic service continuance. The difference is the amount of the continuance available to eligible beneficiaries.

### 3.3.4 Return of Overpayment

1. The Retirement Coordinator calculates the amount of overpayment. Overpayments occur when the deceased member's retirement benefit is not stopped promptly.
2. Retirement Coordinator notifies beneficiaries that monies are due to FCERA, and follows up as necessary.


### 3.3.5 Final Days Payment (pro-ration of final month alive)

1. Retirement Coordinator calculates the amount of the Final Days payment. This is a pro-ration of the deceased member's retirement benefit, based on the number of days alive in the final month and calculated in the following example:

Day of Month the member died:	9
Divided by Number of days in the month the member died: (28, 29, 30, or 31, depending on the month the member died)	31
Multiplier (rounded to 4 digits after decimal)	0.2903

The resulting multiplier is applied to the various components of the monthly benefit, as shown in the example below, to calculate the Final Days payment.

	Monthly Benefit Amount		% factor		Partial Payment for Days Alive in Month
Annuity	\$144.13	X	.2903	=	\$41.84
Current Service	\$283.46	X	.2903	=	\$82.29
Supp Benefit	\$180.00	X	.2903	=	\$52.25
COL	\$264.23	X	.2903	=	\$76.71
Sup COL	\$0	X	.2903	=	\$0.00
VS Health Benefit	\$60.00	X	.2903	=	\$17.42
Board of Retirement Non-vested Health Benefit	\$100.00	X	.2903	=	\$29.03

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2. Retirement Coordinator forwards the amount to the Payroll Unit via an Excel file, and the Payroll Unit instructs the Bank to make the payment.

### 3.4 Areas of Concern

PAS must be flexible to accommodate changing death benefit calculations without reprogramming the product.

As always, manual override capability is required to accommodate special circumstances.

The Final Days calculation must be a built-in capability whose formulae can be adjusted without reprogramming the product and must allow for multiple beneficiaries to receive a portion of the payment.

FCERA uses Excel to track death processing. PENSIONS allows the Retirement Coordinator to initiate a death event by marking the member as deceased. PENSIONS will generate a letter to the member's spouse/beneficiary and compute the basic payment amounts. FCERA does not use the Final Days payment amount that PENSIONS calculates because the COLA is not correct. PENSIONS does not perform other death event tracking that FCERA requires.

PENSIONS only reports continuing benefits paid to one beneficiary unless there is an alternate payee (DRO) in the actuarial valuation extract. This results in underreporting of benefits. The new System must allow multiple beneficiaries to be included in the actuarial valuation extract so that the full benefit is reported for determination of liabilities.

The PAS must allow FCERA to override health benefit options in order to implement DROs and multiple beneficiaries.

### 3.5 Key Business Rules


For retired deaths, there are various types of benefits that depend upon the Option elected at the time of the member's retirement. These benefits are payable to the member's beneficiaries.

There are separate rules/benefits that apply to alternate payees (ex-spouses who receive a portion of the retiree's benefit), survivorships, and continuances.

Additionally, there are different types of benefits that apply to members that retired on service-connected disability versus other types of members

#### 3.5.1 Continuance can only be calculated for a living person

FCERA can calculate a continuance only for a living person. If there is no person eligible to receive the continuance, the final days payment, and any return of contributions, goes to the Estate of the deceased member. For example, charities and other legal entities cannot receive a continuance.

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With a DRO, the community property share may continue to the estate of the non-member so long as there is a stream of payments on behalf of the member. That is, if there is a current spouse eligible for a benefit through the unmodified option, the estate of the non-member spouse will continue to receive payment until the current spouse dies.

### **3.5.2 Domestic Partnership Eligibility**

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Effective January 1, 2004, persons meeting the requirements established under Family Code 297, etc (Registered Domestic Partners) of the California statutes are provided the same benefits as a spouse. Thus, anytime the word "spouse" is used it also means "registered domestic partner".

### **3.5.3 Benefits After Retirement**


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When a member dies after retirement, the amounts of the member's beneficiaries' benefits depend upon the Retirement Benefit Option (Unmodified, or Option 1, 2, 3, or 4) that the member chose during retirement processing.

The non-vested and vested Health Benefits continue to be paid at 100% regardless of the option the member selected at retirement.

#### **3.5.3.1 Unmodified Option**

1. A 60% continuing monthly benefit to your spouse or registered domestic partner, if the deceased member was married for at least one year immediately preceding the member's retirement date or married for at least 2 years after retirement and the member's spouse or registered domestic partner is at least 55 years of age.
2. A 100% continuing monthly benefit to the deceased member's spouse or registered domestic partner, if the member was receiving a service connected disability retirement allowance and the member was married to the surviving spouse at the time of retirement.
3. If the deceased member did not have a surviving spouse or registered domestic partner, or if the surviving spouse or registered domestic partner dies, the continuing monthly benefit will be paid collectively to the member's dependent children until the last child marries, reaches age 18 (age 22 if a full-time student in an accredited school) or dies, whichever comes first.
4. If the deceased member's spouse or registered domestic partner dies before the member or if the member does not have an eligible spouse, registered domestic partner or dependent child (ren), a continuing monthly benefit is not available. This option then provides for a lump sum payment to the member's named beneficiary or the member's Estate of any balance remaining from the member's accumulated contributions less the sum of monthly annuity payments received by the member before death.

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### 3.5.3.2 Option 1

A lump sum payment to the member's beneficiary of any balance remaining from the member's accumulated contributions less the sum of monthly retirement payments received by the member before death.

### 3.5.3.3 Option 2

A 100% continuing monthly benefit to the member's beneficiary.

### 3.5.3.4 Option 3

A 50% continuing monthly benefit to the member's beneficiary.

### 3.5.3.5 Option 4

1. "Basic Option 4" as defined by the Board of Retirement is one which provides equal continuing benefits to more than one beneficiary or is required in order to implement a court-approved Domestic Relations Order.
2. There is no reversion to the remaining beneficiaries should they predecease one another.
3. Election of the "Basic Option 4" benefit as defined above does not require additional approval by the Board of Retirement; however, any other retirement benefit option must be approved by the Board of Retirement.
4. There is no opportunity to change the member's named beneficiaries after retirement should the beneficiaries die before the member.

## 3.5.4 Required Documentation

The processing of a death requires certain information be received from the beneficiaries (forms filled out, certified, or signed by beneficiaries). The following section identifies the types of information that is required in order to complete the setup of a retired death-related benefit.


### Information from system required to process the final payment:

Member/payee name	Member /payee SSN or ID number
Membership Type (Safety, General)	Type of death benefit
Calculation of benefit amount	Membership Status (Retired)
Suspension of retiree payroll setup	Marriage Certificate

### Information needed from beneficiary if not already present:

Date of death of retiree	Beneficiary name
Beneficiary SSN	Relationship
Birth Certificate of beneficiaries	Beneficiary address
Marriage certificate is usually on file at the time.	Beneficiary age

### Documents required from the beneficiary:

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Guardianship papers, if applicable	Copy of Death certificate
Minor's birth certificate (if beneficiary is a minor)	Beneficiary's birth certificate, if applicable
Copy of Marriage certificate	CA Domestic Partner registration, if applicable

#### **Information provided to beneficiary:**

Direct deposit form, if there's a continuance
Federal and State Tax withholding forms for Final Days payment
Request for death certificate
If no marriage certificate is on file, then a request for this document
Request for birth certificate of the beneficiary(ies)

### **3.5.5 Termination of Benefits**

Monthly continuance benefits cease upon death of a member's spouse/registered domestic partner or upon death of the beneficiary.

### **3.5.6 Taxability Rules under the Pension Protection Act**

All FCERA benefits are taxable except for a service-connected disability retirement, in which case a portion of the continuance and COLA is non-taxable to the eligible spouse, while the Supplemental Benefit and both types of the Health Benefits are taxable.

### **3.5.7 Currently Used Forms and Reports**

Death Report

Various documents and forms listed above.


## **3.6 Data Points**

Payroll file to be sent to the Bank.

## **4 Analysis and Recommendation**

As with other death processes, retired member death involves calculations having many variables. Additionally, numerous official documents are required to be in FCERA's possession prior to payments being issued to beneficiaries.

With the introduction of automated, context-aware checklists and EDMS capabilities, the efficiency of processing deaths should rise. There should be no need to use Excel to supplement (or replace) the capabilities of the PAS.


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## 5 Requirements


The table below list requirements for processing the death of a retired member.

ReqID	Process	Requirement details	Priority
502.111	Death Retired Member	The PAS will provide the capability to ensure the correct and timely payment of benefits due to the beneficiaries of a deceased retired member.	1
502.112	Death Retired Member	The PAS will provide the capability to instruct the Bank to terminate payments to the deceased member.	2
502.113	Death of Retired Member	The PAS will consider "domestic partnership", "registered domestic partner", and "spouse" to be equal and synonymous.	2
502.114	Death Retired Member	The PAS will provide the capability to administer the correct and timely return of any benefits overpaid to the deceased member.	2
502.115	Death Retired Member	The PAS will provide the capability to administer the correct and timely payment of any benefits underpaid to the deceased member.	2
502.116		The PAS will provide the capability to calculate the continuance amount to the beneficiaries.	2
502.117	Death Retired Member	The PAS will provide the capability to include the deceased retired member in a Death Report.	2
502.118	Death Retired Member	<p>The PAS will provide context-aware checklists to assist in the collection of information and documents supporting the process of a retired member death.</p> <p>Information from system required to process the final payment:  Member/payee name  Member /payee SSN or ID number  Membership Type (Safety, General)  Type of death benefit  Calculation of benefit amount  Membership Status (Retired)  Suspension of retiree payroll setup  Marriage Certificate</p> <p>Information needed from beneficiary(ies) if not already present:  Date of death of retiree  Beneficiary name  Beneficiary SSN  Beneficiary Relationship  Birth Certificate of beneficiaries  Beneficiary address  Beneficiary age</p> <p>Documents required from the beneficiary:  Guardianship papers, if applicable  Copy of Death certificate  Minor's birth certificate (if beneficiary is a minor)  Beneficiary's birth certificate, if applicable  Copy of Marriage certificate  CA Domestic Partner registration, if applicable</p>	2




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	Death-Retired	


ReqID	Process	Requirement details	Priority																																																						
		Information provided to beneficiary: Direct deposit form, if there's a continuance Federal and State Tax withholding forms for Final Days payment Request for death certificate If no marriage certificate is on file, then a request for this document Request for birth certificate of the beneficiary(ies), if not on file																																																							
502.119	Death Retired Member	The PAS will provide the capability to include the beneficiary payee(s) to the payroll interface file that will be sent to the Bank.	2																																																						
502.120	Death Retired Member	The PAS will calculate taxability of payments to beneficiaries properly. All FCERA benefits are taxable except for a service-connected disability retired death, in which case a portion of the continuance and COLA is non-taxable, while the Supplemental Benefit and both types of the Health Benefits are taxable. For service-connected disability retirement, the continuance payments to the eligible spouse retain the same taxability as the retiree's taxability, whereas the continuance payments to alternate payees will be taxable.	2																																																						
502.121		<p>The PAS will calculate Final Days Payment as a pro-ration of the deceased member's retirement benefit based on the number of days alive in the final month. An example is shown below:</p> <table><tr><td>Day of Month the member died:</td><td>9</td></tr><tr><td>Divided by Number of days in the month the member died: (28, 29, 30, or 31, depending on the month the member died)</td><td>31</td></tr><tr><td>Multiplier (rounded to 4 digits after decimal)</td><td>0.2903</td></tr></table> <p>The resulting multiplier is applied to the various components of the monthly benefit, as shown in the example below, to calculate the Final Days payment.</p> <table><tr><td></td><td>Monthly Benefit Amount</td><td></td><td>% factor</td><td></td><td>Partial Payment for Days Alive in Month</td></tr><tr><td>Annuity</td><td>\$144.13</td><td>X</td><td>.2903</td><td>=</td><td>\$41.84</td></tr><tr><td>Current Service</td><td>\$283.46</td><td>X</td><td>.2903</td><td>=</td><td>\$82.29</td></tr><tr><td>Supp Benefit</td><td>\$180.00</td><td>X</td><td>.2903</td><td>=</td><td>\$52.25</td></tr><tr><td>COL</td><td>\$264.23</td><td>X</td><td>.2903</td><td>=</td><td>\$76.71</td></tr><tr><td>Sup COL</td><td>\$0</td><td>X</td><td>.2903</td><td>=</td><td>\$0.00</td></tr><tr><td>VS Health Benefit</td><td>\$60.00</td><td>X</td><td>.2903</td><td>=</td><td>\$17.42</td></tr><tr><td>Board of Retirement non-vested Health Benefit</td><td>\$100.00</td><td>X</td><td>.2903</td><td>=</td><td>\$29.03</td></tr></table>	Day of Month the member died:	9	Divided by Number of days in the month the member died: (28, 29, 30, or 31, depending on the month the member died)	31	Multiplier (rounded to 4 digits after decimal)	0.2903		Monthly Benefit Amount		% factor		Partial Payment for Days Alive in Month	Annuity	\$144.13	X	.2903	=	\$41.84	Current Service	\$283.46	X	.2903	=	\$82.29	Supp Benefit	\$180.00	X	.2903	=	\$52.25	COL	\$264.23	X	.2903	=	\$76.71	Sup COL	\$0	X	.2903	=	\$0.00	VS Health Benefit	\$60.00	X	.2903	=	\$17.42	Board of Retirement non-vested Health Benefit	\$100.00	X	.2903	=	\$29.03	2
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	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-502
	Project: PENSION ADMINISTRATION SYSTEM	
	Death-Retired	

ReqID	Process	Requirement details	Priority
502.122	Death Retired Member	The PAS will provide the capability for FCERA to modify death benefit calculations without reprogramming the product.	2
502.123	Death Retired Member	The PAS will provide the capability for multiple beneficiaries to receive a portion of the Final Days payment, based on the percentage stated on the beneficiary form. The sum of the portions paid to multiple beneficiaries will not exceed 100% of the total amount.	2
502.124	Death Retired Member	<p>The PAS will calculate the retired member's beneficiaries' benefits based on the Retirement Benefit Option that the member chose during retirement processing.</p> <p><b>Unmodified Option</b></p> <p>A 60% continuing monthly benefit to your spouse or registered domestic partner, if the deceased member was married for at least one year immediately preceding the member's retirement date or married for at least 2 years after retirement and the member's spouse or registered domestic partner is at least 55 years of age.</p> <p>A 100% continuing monthly benefit to the deceased member's spouse or registered domestic partner, if the member was receiving a service connected disability retirement allowance and the member was married when the member became disabled. If the deceased member did not have a surviving spouse or registered domestic partner, or if the surviving spouse or registered domestic partner dies, the continuing monthly benefit will be paid collectively to the member's dependent children until the last child marries, reaches age 18 (age 22 if a full-time student in an accredited school) or dies, whichever comes first.</p> <p>If the deceased member's spouse or registered domestic partner dies before the member or if the member does not have an eligible spouse, registered domestic partner or dependent child (ren), a continuing monthly benefit is not available. This option then provides for a lump sum payment to the member's named beneficiary or the member's Estate of any balance remaining from the member's accumulated contributions less the sum of monthly annuity payments received by the member before death.</p> <p><b>Option 1</b> A lump sum payment to the member's beneficiary of any balance remaining from the member's accumulated contributions less the sum of monthly retirement payments received by the member before death.</p> <p><b>Option 2</b> A 100% continuing monthly benefit to the member's beneficiary.</p> <p><b>Option 3</b> A 50% continuing monthly benefit to the member's beneficiary.</p> <p><b>Option 4</b> "Basic Option 4" as defined by the Board of Retirement is one</p>	2

	<b>FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION</b>	<b>FCERA-PAS-REQ-502</b>
	<b>Project: PENSION ADMINISTRATION SYSTEM</b>	
	<b>Death-Retired</b>	

<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
		<p>which provides equal continuing benefits to more than one beneficiary or is required in order to implement a court-approved Domestic Relations Order.</p> <p>There is no reversion to the remaining beneficiaries should they predecease one another.</p> <p>Election of the "Basic Option 4" benefit as defined above does not require additional approval by the Board of Retirement; however, any other retirement benefit option must be approved by the Board of Retirement.</p> <p>There is no opportunity to change the member's named beneficiaries after retirement should the beneficiaries die before the member</p>	
502.125	Death Retired Member	The PAS will include the full amount of the vested and non-vested Health Benefit regardless of the Retirement Benefit Option the member chose during retirement processing.	2
502.126	Death Retired Member	The PAS will provide context-aware checklists and automated workflow to assist in the processing of death events without the need to use Excel or other outside tools.	2
502.127	Death Retired Member	The PAS will provide the capability for FCERA to modify the checklists as necessary to accommodate special circumstances.	2
502.128	Death Retired Member	The PAS will allow a continuance to be calculated only for a living person and paid only to a living person or to the estate of the deceased member. (With a DRO, the community property share may continue to the estate of the non-member so long as there is a stream of payments on behalf of the member.)	2
502.129	Death Retired Member	The PAS will stop monthly continuance benefits upon death of a member's spouse/registered domestic partner or upon death of the beneficiary.	2
502.130	Death Retired Member	The PAS will provide manual override to all calculations and other values associated with retired member death processing, to accommodate DROs and other special circumstances.	2

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-503
	Project: PENSION ADMINISTRATION SYSTEM	
	Cost of Living Allowance (COLA) Adjustments	

## 4.4.503 Cost Of Living Allowance (COLA) Adjustments

### 1 Overview

The primary objective of the Cost Of Living Allowance (COL) Adjustments process is to provide an adjustment, either zero, positive or negative, to the retiree's basic retirement benefit each year of retirement.

There could also be Supplement Cost of Living Adjustment paid to eligible retirees if the Board approves such a distribution. Supplemental Cost of Living benefits are funded through undistributed earnings of the retirement system. However, as a result of both market conditions and the Settlement Agreement, there have been no undistributed earnings available to the Board to provide additional funds to this benefit in several years. In an effort to extend the benefits over a greater length of time to the retirees most in need (i.e., those who have lost the most purchasing power to inflation), the Board of Retirement modified the Supplemental Cost of Living program in 2005. The modification caps the benefit levels at the amount that they were as of April 2005. The benefit will not be increased as a result of the normal application of the cost of living benefit or a result of the effects of the assumptions and the market results. No additional retirees will be added to the group eligible to receive the Supplemental Cost of Living benefit under FCERA's current policy.

### 2 Roles

PAS Role Name	Definition
Board of Retirement	The executive decision-making body for FCERA, comprised of FCERA's executive Retirement Administrator plus individuals from outside FCERA
FCERA staff	Non-management employees of FCERA.

### 3 Process Overview

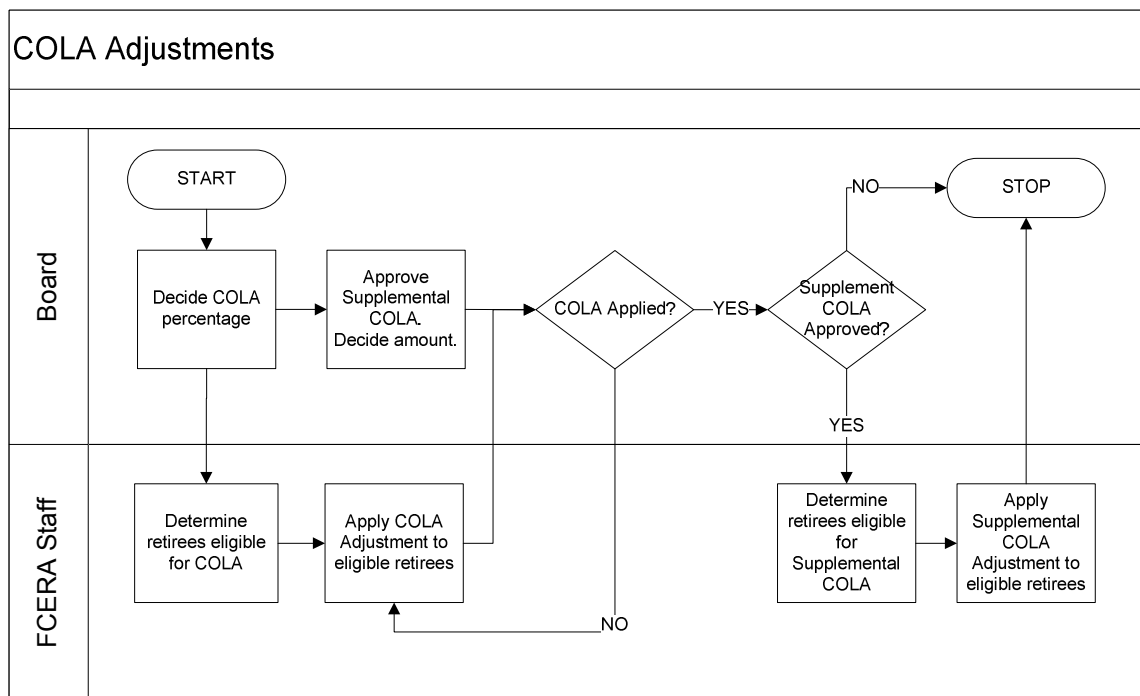
#### 3.1 Process Scope

The Cost of Living Adjustments process occurs after the member has started receiving benefits, and annually thereafter. New retirees are eligible for the Cost of Living Adjustment if they have retired on or before April 1<sup>st</sup> in the current year. All existing retirees are eligible annually.

The COLA Adjustment is applied to the basic retirement allowance, including previous accumulated COLA benefits. The adjustment calculation excludes the non-vested health benefit, settlement health benefit, and supplemental cost of living adjustment. COLA may have both a taxed and taxable component. COLA may have a TAO component and a non-TAO component.


### 3.2 Process Flow

The diagram below depicts the process of approving, calculating, and applying COLA and Supplemental COLA adjustments to retiree accounts.



### 3.3 Process Steps


1. FCERA Board determines COLA percentage (may be positive, zero, or negative).
2. FCERA staff determines the retirees eligible for COLA Adjustments.
3. If the approved COLA is greater than 3%, FCERA will apply 3% COLA Adjustment to eligible retirees' benefit on April 1, and put the excess in the retiree's COLA bank.
4. If the approved COLA is less than 3%, FCERA will supplement the COLA with percentage points from members' COLA bank to achieve 3% if sufficient COLA bank exists.
5. If the approved COLA is negative, the COLA bank will first be adjusted (reduced) to a maximum of 3% (if sufficient COLA bank exists for that retiree).
6. Once the COLA bank is reduced to zero (0), the COLA funding (actual dollars) will be adjusted to accommodate the COLA.
7. Once the COLA funding (actual dollars) is reduced to zero, any remaining COLA negative adjustments will be posted to the COLA bank as a negative amount.

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-503
	Project: PENSION ADMINISTRATION SYSTEM	
	Cost of Living Allowance (COLA) Adjustments	

8. Future positive COLAs will first be applied to negative COLA banks before increasing a COLA benefit amount.
9. FCERA will determine any Supplemental COLA Adjustments as approved by Board. (Supplemental COLA this is not currently in use, but may come back in the future and the PAS will need to accommodate it at that time.)
10. Apply Supplemental COLA to eligible retirees.

### 3.4 Areas of Concern

1. Applying COLA Adjustments needs to be automated.
2. Manual overrides must be accommodated to update individual accounts, a list of accounts meeting certain criteria, and all accounts.
3. Corrections or modifications to COLA Adjustments are sometimes necessary.
4. The current system does not segregate the amounts for the Temporary Annuity Option (TAO) from the basic retirement benefit for retirees who retired prior to July 1, 2006. The COLA Adjustment must be recalculated after the TAO goes away. (In July 2006, FCERA started segregating TAO manually.)
5. Service-connected Disability benefits are non-taxable. By law, up to 50% of final compensation is nontaxable for recipients of service connected disability benefits. The COLA on that nontaxable benefit is also nontaxable.
6. PENSIONS does not differentiate between the taxable and nontaxable portions of Disability. The future PAS must be able to separate taxable and nontaxable portions for new disability retirements.
7. FCERA would like to automate the COLA Adjustment calculations for existing retirees, especially for conversions from Service Retirement to Service Connected Disability. The effective date for the conversion could be the same, earlier or later than the service retirement date, depending on the resolution of the disability claim.
8. The PAS user interface must accommodate the computer skills of general FCERA users. The updating of COLA information and the subsequent application of the COLA adjustments to retiree accounts will not require the skills of technical staff.
9. Currently, the administration of the COLA bank is performed manually in a database table in PENSIONS. FCERA would like the future PAS to automate the administration of the COLA bank, and allow manual entry when necessary.
10. Some divorces have unusual COLA calculations. Nontechnical FCERA staff must be able to modify the calculated COLA amounts for any payee.
11. The COLA calculation must be based on the benefit the member is entitled to after reduction for DRO, not the amount of the benefit actually being paid/received (reduced for repayments).
12. The total COLA paid to the member and all alternate payees cannot exceed the benefit that would have been paid to the member if there were no alternate payees.

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-503
	Project: PENSION ADMINISTRATION SYSTEM	
	Cost of Living Allowance (COLA) Adjustments	

### 3.5 Key Business Rules


#### 3.5.1 COLA Calculation

1. The COLA Adjustment is effective on April 1 of each year after the member retires.
2. New retirees are eligible for the Cost of Living Adjustment if they have retired on or before April 1<sup>st</sup> in the current year. All existing retirees are eligible annually.
3. The COLA Adjustment is calculated in the accordance with the annual change in the Consumer Price Index (CPI) for the Western Region of the United States.
4. The current maximum COLA increase in any year is 3%.
5. Any change in the CPI in excess of 3% is held in a COLA bank and applied to the COLA Adjustment for a future year when the annual CPI is less than 3%. The COLA bank is replenished by excess CPI in future years. The COLA bank can be added to and subtracted from as needed and can hold a negative balance.
6. If the approved annual COLA rate is negative, FCERA will
  - a. First, maintain the COLA Benefit that is currently in-place on a member's account, then
  - b. For existing retirees, FCERA will start reducing the retired member's COLA bank until the retired member's COLA bank balance reaches zero.
  - c. When the COLA bank reaches zero, then FCERA will start reducing the COLA Benefit accumulated on the retired member's account, until that is zero.
  - d. When the COLA Benefit becomes zero, then FCERA will reduce the COLA bank balance to be negative.
  - e. The member's base retirement benefit is never affected. (Note: in the past, FCERA has never had to affect the COLA Benefit, only the members' COLA banks.)
  - f. This means, for a new retiree who has no COLA Benefit to reduce, the retiree's COLA bank will be negative in the first year.
  - g. When the approved COLA rate is again positive, retiree's COLA banks will be recovered first. Then, the retiree's accumulated COLA Benefit amount is recovered.

#### 3.5.2 Supplemental COLA Calculation

1. Regular COLA Adjustments must be calculated prior to Supplemental COLA Adjustments.
2. The Board approves the providing of the Supplemental COLA by authorizing funding for the benefit.



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3. The COLA bank balance in excess of 25% is the percentage used to calculate the new supplemental COLA. Supplemental COLA is a replacement amount not an additional amount added to the existing Supplemental COLA amount.
4. The Supplemental COLA calculation is as follows:
  - a. Any type of Retirement before January 1, 2001:
    - i. (Annuity plus current service plus supplemental benefit plus COLA) times (COLA bank for year of retirement -25%) equals Supplemental COLA
  - b. Service retirement, non-service connected disability on or after January 1, 2001:
    - i. (Annuity plus current service plus supplemental annuity plus COLA) times (COLA bank for year of retirement -25%) equals Supplemental COLA
  - c. Service Connected Disability on or after January 1, 2003:
    - i. (Taxable annuity plus taxable current service plus taxable supplemental annuity plus taxable COLA) times (COLA bank for year of retirement -25%) equals taxable Supplemental COLA
    - ii. (Non-taxable annuity plus non-taxable current service plus non- taxable supplemental annuity plus non-taxable COLA) times (COLA bank for year of retirement -25%) equals non-taxable Supplemental COLA
  - d. Temporary Annuity Option after July 1, 2006:
    - i. (Annuity plus current service plus supplemental benefit plus COLA) times (COLA bank for year of retirement - 25%) equals Supplemental COLA
    - ii. (TAO annuity plus TAO current service plus TAO supplemental benefit plus TAO COLA) times (COLA bank for year of retirement - 25%) equals TAO Supplemental COLA. (This calculation would be rare as it would require high levels of inflation over a short period of time.)
5. Supplemental COLA does not affect the members' COLA bank. It can be viewed as a 'bonus' to the members receiving retirement benefits in that year.
6. Whereas regular COLA Adjustments draw upon the member's COLA bank to ensure 3%, Supplemental COLA is a calculated dollar amount. Supplemental COLA is funded from the FCER's undistributed earnings (not from members' funds).


### 3.5.3 Currently Used Forms and Reports

Total COLA Amount Increases Report

### 3.6 Data Points

There are no data integration points for the COLA Adjustment process.



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## 4 Analysis and Recommendation

In the interest of repeatable (auditable) calculations, the applying of COLA and Supplemental COLA Adjustments requires programmed automation. A non-technical FCERA staff member needs to be able to enter the approved COLA percentage and have the PAS calculate the adjustment for all eligible retiree accounts. The PAS will provide an opportunity for FCERA to confirm the calculations prior to posting the adjustment transactions to the accounts.


Applying the supplemental COLA Adjustment, when approved, requires the same sort of automation, albeit with a different calculation.

## 5 Requirements


ReqID	Process	Requirement details	Priority
503.001	COLA Adjustments	The PAS will provide capabilities to automate the calculation and application of COLA adjustments on payees' retirement benefit, as approved by the Board.	1
503.002	COLA Adjustments	<p>The PAS will calculate COLA Adjustment per the following rules.</p> <ol style="list-style-type: none"> <li>1. The COLA Adjustment is effective on April 1 of each year after the member retires.</li> <li>2. New retirees are eligible for the COLA Adjustment if they have retired on or before April 1st in the current year. All existing retirees are eligible annually.</li> <li>3. The COLA Adjustment is calculated in the accordance with the change in the annual Consumer Price Index (CPI) for the Western Region of the United States.</li> <li>4. The current maximum COLA increase in any year is 3%.</li> <li>5. There is no minimum, thus the COLA can be negative.</li> <li>6. Any change in the annual CPI in excess of 3% is held in a 'COLA bank' and applied to the COLA Adjustment for a future year when the annual CPI is less than 3%. The COLA bank is replenished by excess CPI in future years. The COLA bank can be added to and subtracted from as needed and can hold a negative balance.</li> <li>7. If the approved annual COLA rate is negative, the PAS will: <ul style="list-style-type: none"> <li>For existing retirees, the PAS will start reducing the retired member's COLA bank until the retired member's COLA bank balance reaches zero.</li> <li>When the COLA bank reaches zero, then the PAS will start reducing the COLA Benefit amount accumulated on the retired member's account, until that is zero.</li> <li>When the COLA Benefit becomes zero, then the PAS will reduce the COLA bank balance to be negative. For a new retiree who has no COLA Benefit amount to reduce, the retiree's</li> </ul> </li> </ol>	3

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-503
	Project: PENSION ADMINISTRATION SYSTEM	
	Cost of Living Allowance (COLA) Adjustments	


ReqID	Process	Requirement details	Priority
		<p>COLA bank could become negative in the first year.</p> <p>The member's base retirement benefit amount is never affected by COLA Adjustment calculations.</p> <p>When the approved COLA rate is again positive, the PAS will eliminate any negative balance in the retiree's COLA bank before providing additional COLA benefit.</p>	
503.003	COLA Adjustments	The PAS will provide the capability to maintain as separate values the amount for the basic retirement benefit (taxed and taxable) and the amount for the Temporary Annuity Option.	3
503.004	COLA Adjustments	The PAS will apply the COLA Adjustment to the base retirement benefit amount, including previous accumulated COLA Adjustment amounts.	3
503.005	COLA Adjustments	The PAS will apply the COLA Adjustment to the Temporary Annuity Option amount, including previous accumulated COLA Adjustment amounts.	3
503.006	COLA Adjustments	The PAS will provide the capability to differentiate taxable disability benefits from non-taxable disability benefits on new retiree accounts.	2
503.007	COLA Adjustments	The PAS will provide the capability to differentiate taxable disability benefits from non-taxable disability benefits on existing retiree accounts.	2
503.008	COLA Adjustments	The PAS will apply a non-taxable COLA adjustment to non-taxable disability benefits.	3
503.009	COLA Adjustments	The PAS will apply a taxable COLA adjustment to taxable disability benefits.	3
503.010	COLA Adjustments	The PAS will provide the capability to automate the calculation of COLA Adjustments for conversions from service retirement to non-service connected disability retirement.	3
503.011	COLA Adjustments	The PAS will provide the capability to automate the calculation of COLA Adjustments for conversions from service retirement to service-connected disability retirement.	3
503.012	COLA Adjustments	The PAS will provide the capability for non-technical staff to manually override COLA Adjustment calculations on <b>individual</b> eligible accounts.	3
503.013	COLA Adjustments	The PAS will provide the capability for non-technical staff to manually override COLA Adjustment calculations on a <b>list</b> of eligible accounts meeting certain criteria.	3
503.014	COLA Adjustments	The PAS will provide the capability for non-technical staff to manually override COLA Adjustment calculations on <b>all</b> eligible accounts.	3
503.015	COLA Adjustments	The PAS will provide the capability to manually override the effective date of the increase resulting from the COLA Adjustment.	2
503.016	COLA Adjustments	The PAS will provide the capability for FCERA to review the COLA Adjustment calculation results prior to the PAS applying adjustment transactions to the retirees' accounts.	2
503.017	COLA Adjustments	The PAS will provide the capability for non-technical staff to apply COLA Adjustments.	2
503.018	COLA Adjustments	The PAS will provide the capability to automate the administration of the COLA bank.	2
503.019	COLA Adjustments	The PAS will provide the capability to allow manual entries in the COLA bank when necessary.	2
503.020	COLA	The PAS will provide the capability to automate the calculation and	2

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-503
	Project: PENSION ADMINISTRATION SYSTEM	
	Cost of Living Allowance (COLA) Adjustments	

ReqID	Process	Requirement details	Priority
	Adjustments	applying of the Supplemental COLA Adjustment, when approved by the Board.	
503.021	COLA Adjustments	<p>The PAS will calculate Supplemental COLA Adjustments amounts according to the following rules:</p> <ol style="list-style-type: none"> <li>1. Regular COLA Adjustments must be calculated prior to Supplemental COLA.</li> <li>2. The Board approves the providing of the Supplemental COLA by authorizing funding for the benefit.</li> <li>3. The calculation is as follows:  For any type of Retirement before January 1, 2001:    (annuity plus current service plus supplemental benefit plus COLA) times (COLA bank for year of retirement -25%) equals Supplemental COLA    For Service retirement and non-service connected disability on or after January 1, 2001:    (annuity plus current service plus supplemental annuity plus COLA) times (COLA bank for year of retirement -25%) equals Supplemental COLA    For Service Connected Disability on or after January 1, 2003:    (taxable annuity plus taxable current service plus taxable supplemental annuity plus taxable COLA) times (COLA bank for year of retirement -25%) equals taxable Supplemental COLA    (non-taxable annuity plus non-taxable current service plus non-taxable supplemental annuity plus non-taxable COLA) times (COLA bank for year of retirement -25%) equals non-taxable Supplemental COLA    For Temporary Annuity Option after July 1, 2006:    (annuity plus current service plus supplemental annuity plus COLA) times (COLA bank for year of retirement - 25%) equal Supplemental COLA adjustment    (TAO annuity plus TAO current service plus TAO supplemental annuity plus TAO COLA) times (COLA bank for year of retirement - 25%) equals TAO Supplemental COLA. (Note: This calculation would be rare as it would require high levels of inflation over a short period of time.)</li> <li>4. Supplemental COLA does not affect the members' COLA bank. It can be viewed as a 'bonus' to the members receiving retirement benefits in that year.</li> <li>5. Whereas regular COLA Adjustments draw upon the member's COLA bank to allow 3%, Supplemental COLA is a calculated dollar amount funded from excess earnings.</li> </ol>	3
503.022	COLA Adjustments	The PAS will provide the capability for non-technical staff to manually override Supplemental COLA Adjustment calculations on <b>individual</b> eligible accounts.	2
503.023	COLA Adjustments	The PAS will provide the capability for non-technical staff to manually override the Supplemental COLA Adjustment calculations	2

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-503
	Project: PENSION ADMINISTRATION SYSTEM	
	Cost of Living Allowance (COLA) Adjustments	

ReqID	Process	Requirement details	Priority
		on a <b>list</b> of eligible accounts meeting certain criteria.	
503.024	COLA Adjustments	The PAS will provide the capability for non-technical staff to manually override Supplemental COLA Adjustment calculations on <b>all</b> eligible accounts.	2
503.025	COLA Adjustments	The PAS will provide the capability to manually override/correct the effective date of the Supplemental COLA Adjustment.	2
503.026	COLA Adjustments	The PAS will provide the capability for FCERA to review the Supplemental COLA Adjustment calculation results prior to the PAS applying the adjustment transactions to the retirees' accounts.	2
503.027	COLA Adjustments	The PAS will provide the capability for non-technical staff to apply Supplemental COLA Adjustments.	2

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-505
	Project: PENSION ADMINISTRATION SYSTEM	
	Deferred Retirement	

## 4.4.505 Deferred Retirement Process

### 1 Overview

The primary objective of the Deferred Retirement process is to allow members to leave their contributions on deposit at FCERA until the member has met the minimum requirements to retire from FCERA.

### 2 Roles

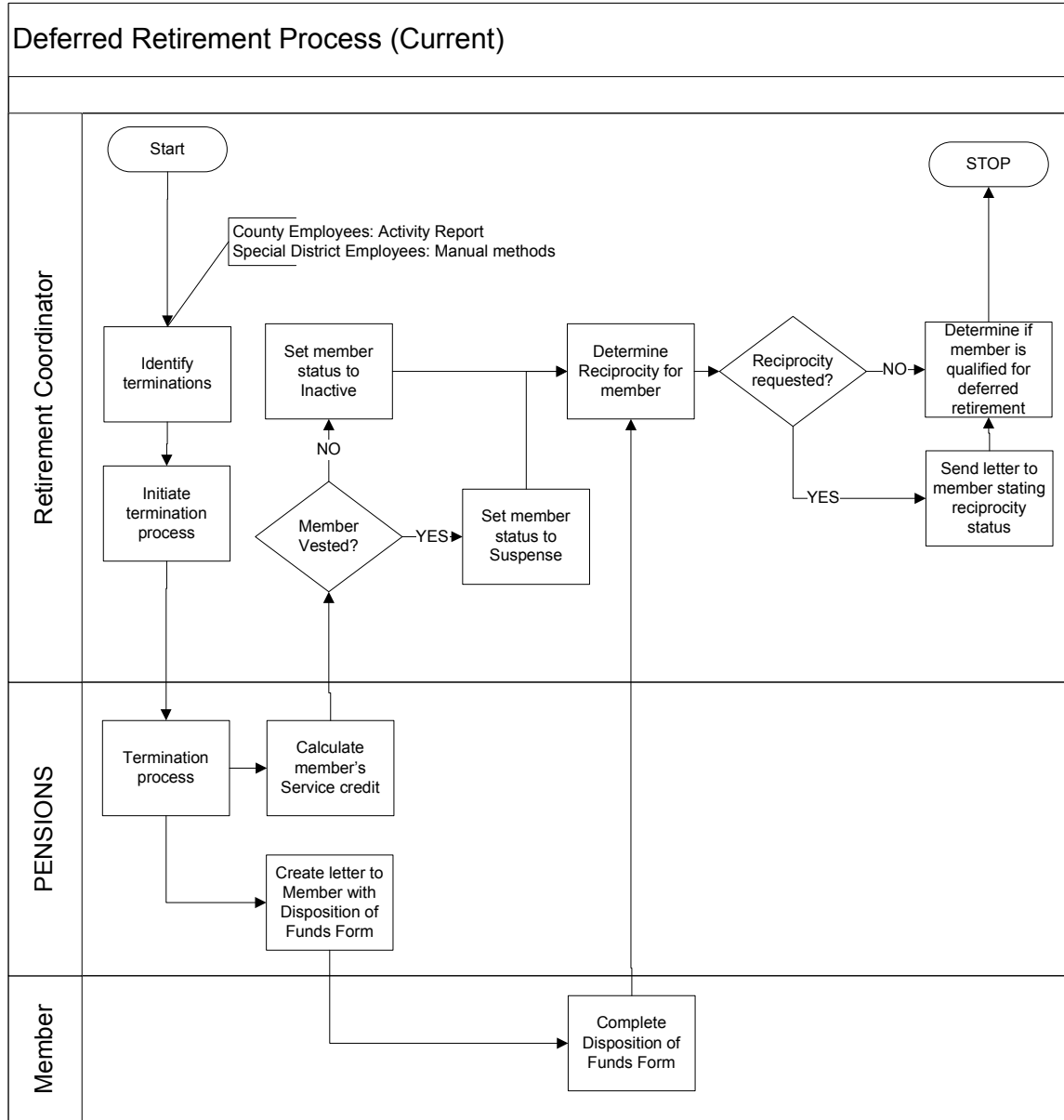
PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who are responsible for day-to-day administration of the retirement program. Retirement Coordinators serve members directly.
FCERA Board of Retirement	The executive decision-making body for FCERA, comprised of FCERA's executive Retirement Administrator plus individuals from outside FCERA

### 3 Process Overview

#### 3.1 Process Scope


The Deferred Retirement process begins when a member terminates his/her employment with a plan sponsor. The process ends when the member's account status is set to the correct value.

#### 3.2 Process Flow



### 3.3 Process Steps

- After the employer payroll is imported, FCERA generates an Activity Report containing termination records for all County members who have terminated. Terminations for Special District employees are determined manually.
- Retirement Coordinator runs a Termination Process in PENSIONS and sends a Termination Letter to the member, along with a Request for Disposition of Member's Retirement Contributions Form.
  - The Termination Process allows the Retirement Coordinator to determine member's service credit.

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- b. If the terminated member was vested (at least 5 years of service), the status of the member's account becomes "Suspense".
  - c. If the terminated member was not vested (less than 5 years of service), the status of the member's account becomes "Inactive".
3. Member completes Request for Disposition of Member's Retirement Contributions Form, electing either Deferred Retirement or Reciprocal Deferred, and sends the form to the FCERA Retirement Coordinator
4. Retirement Coordinator receives completed Request for Disposition of Member's Retirement Contributions form
5. Retirement Coordinator determines reciprocity in effect for the member. If member elects reciprocal retirement, FCERA initiates an ISMA to reciprocal agency and waits for a response from the reciprocal agency.
6. Retirement Coordinator qualifies member for deferred retirement.
  - a. If a member requests deferred retirement with no reciprocity, FCERA currently does not send the member any correspondence letting the member know that a benefit will be available. The member's annual statement will contain information about that benefit.
  - b. If reciprocity is established or denied FCERA sends a letter to member informing member of decision.
7. Member contacts FCERA at some future date to either begin retirement benefits or change the member's deferred retirement election

### **3.4 Areas of Concern**


The PAS will incorporate reciprocity rules to and from FCERA.

The PAS will provide a field or fields where FCERA can enter information about the agency where the member established reciprocity. This will support FCERA notifying the reciprocal agency should the member withdraw funds or retire from FCERA.

The PAS will include reports or alerts to identify when a member is age 70, living, and in deferred retirement status. Currently, this requires manual queries to identify in PENSIONS.

The PAS will include rules to set the member's account status automatically to Suspense (vested termination having no Disposition Form) or to Inactive (non-vested termination having no Disposition Form).

The PAS will provide manual override of business rules to accommodate status changes and special circumstances.

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### 3.5 Key Business Rules

#### 3.5.1 Qualifications for Deferred Retirement


1. A vested member (having at least 5 years of total, including any reciprocal service, but excluding any public service credit purchased) is eligible for deferred retirement. The member will be eligible to receive the FCERA retirement benefit when one of the two conditions listed below occurs:
  - a. Contributions have been on deposit at FCERA for 10 years total and the member is at least age 50; or
  - b. Member is eligible for service retirement (as documented elsewhere in the Retirement process)
2. A non-vested member (having less than 5 years of service credit, including any reciprocal service but excluding any public service credit purchased) is eligible for deferred retirement if one of the following applies
  - a. Member chooses to leave contributions and interest on deposit at FCERA until the member is age 70, at which time the member is eligible to receive a retirement benefit regardless of years of service. Or, the member may withdraw contributions and interest.
  - b. Member establishes reciprocity with six months after the date of terminating with the FCERA. The member may not cancel the deferred retirement or withdraw contributions while a member of a reciprocal agency. If an FCERA employer is the member's last employer, the member is permitted to cancel a deferred retirement and withdraw contributions plus interest. Canceling a deferred retirement election requires Board approval.

The reciprocal deferred member may be eligible for a FCERA retirement benefit when the member's contributions have been on deposit for a minimum of ten years.

The reciprocal deferred member may begin receiving monthly retirement allowance at any time the member would have been eligible for a service retirement had the member remained in service with FCERA. Reciprocity is not broken if the member retirees under FCERA eligibility and keeps working to meet the retirement age eligibility requirements of the reciprocal agency. That is, the member can receive a retirement benefit from FCERA while working to meet the age eligibility of the reciprocal agency.

- c. Member does not establish reciprocity. If a member has not established reciprocity with a reciprocal agency, the member may cancel the deferred retirement election and withdraw all contributions plus interest any time before the member begins receiving FCERA retirement benefits. Canceling a deferred retirement election requires Board approval.



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### 3.5.2 FCERA Validates Disposition Form

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1. If FCERA receives a Disposition Form and the form has either “Deferred” or “Reciprocal Deferred” elected, the Retirement Coordinator will manually update the member’s account in PENSIONS to have the appropriate status. To qualify for reciprocity, the member has to leave one reciprocal agency and gain membership in another reciprocal agency within six months. The request to establish reciprocity can occur at anytime.
2. If FCERA receives a Disposition Form and the form is not completed properly, the Retirement Coordinator will work with the member to resolve the issue
3. If FCERA does not have a Disposition Form and the terminated member was vested (at least 5 years of service), the status of the member’s account remains “Suspense”. The status of “Suspense” was established when the Termination Event was created.
4. If FCERA does not have a Disposition Form and the terminated member was not vested (less than 5 years of service), the status of the member’s account remains “Inactive”.

### 3.5.3 Duration of Deferred Election

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The election to defer retirement status remains in effect until the member contacts FCERA to begin receiving retirement benefits, or until the member changes the previous decision to defer and takes a refund of contributions. Canceling a deferred retirement requires Board approval.

### 3.5.4 Deferred Retirement Benefits Begin

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The member who elected deferred retirement must contact FCERA to initiate retirement processing. Retirement benefits do not begin automatically on a deferred account.

### 3.5.5 Currently Used Forms and Reports

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Request for Disposition of Member’s Retirement Contributions form (also called “Disposition Form”, “Dispo Form”, or “Yellow Form”)


Term(ination) Letter

Reciprocity confirmed/denied letter

Activity Report

Term(inations) Report

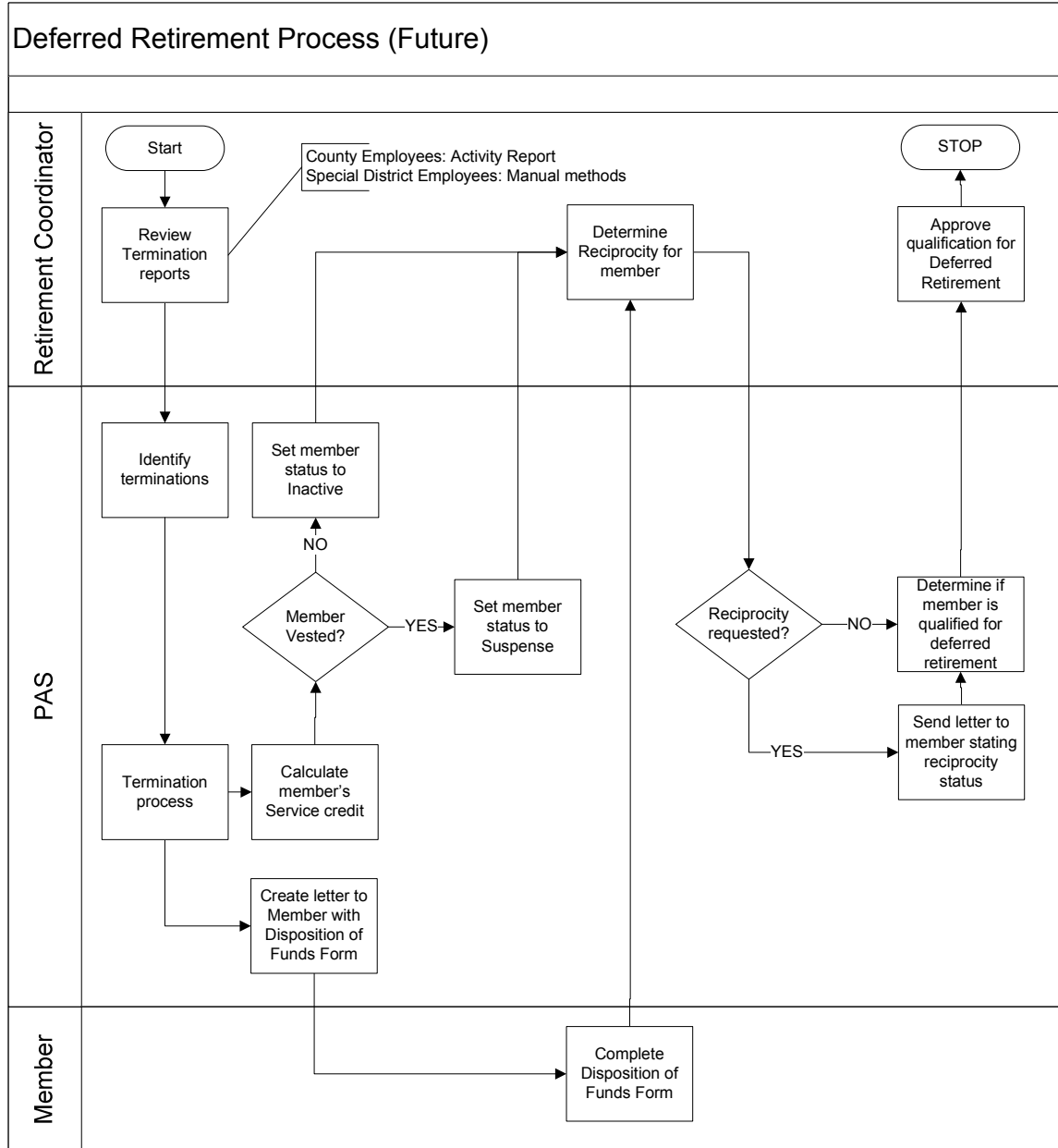
Over age 70, living, and deferred retirement report.

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## 4 Analysis and Recommendation

The recommendations for this process involve automating decisions that are based on factual data. For example, determining the vesting status of a member is a straight-forward calculation based on data that is (or should be) available in the PAS. Likewise, once the reciprocity request has been received into the PAS/EDMS, qualifying a member for deferred retirement should be an automated decision. Identifying the terminations can also be automated, assuming there is information in the payroll data from Plan Sponsors that indicates a termination. A manual approval step (with override capability) is always recommended to catch any exceptions.


The diagram below shows the PAS performing steps in the process that the Retirement Coordinator currently does manually.




## 5 Requirements

The table below lists the formal requirements for Deferred Retirement processing.


ReqID	Process	Requirement details	Priority
505.001	Deferred Retirement	The PAS will provide the capability to process a terminated employee who elects deferred retirement.	1
505.002	Deferred	The PAS will provide data fields into which FCERA can enter	2

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ReqID	Process	Requirement details	Priority
	Retirement	information about the agency where the member established reciprocity	
505.003	Deferred Retirement	The PAS will provide the capability to identify terminated members automatically based on information in the payroll data from Plan Sponsors (PSBiweekly from County. Manual entry or spreadsheet data from Districts).	2
505.004	Deferred Retirement	The PAS will provide the capability, using user-definable rules, to set the member's account status automatically to Suspense for a vested termination having no Disposition Form on file.	2
505.005	Deferred Retirement	The PAS will provide the capability, using user-definable rules, to set the member's account status automatically to Inactive for a non-vested termination having no Disposition Form on file.	2
505.006	Deferred Retirement	<p>The PAS will qualify a <b>vested</b> member (having at least 5 years of service including reciprocal time, but excluding any public service credit purchased) as eligible for deferred retirement. The member will be eligible to receive the FCERA retirement benefit when one of the two conditions listed below occurs:</p> <ol style="list-style-type: none"> <li>Contributions have been on deposit for 10 years total and the member is at least age 50; or</li> <li>Member is eligible for service retirement (as documented elsewhere in the Retirement process)</li> </ol>	2
505.007	Deferred Retirement	<p>The PAS will qualify a <b>non-vested member</b> (having less than 5 years of service credit, including reciprocal time but excluding any public service credit purchased) as eligible for deferred retirement if one of the following applies:</p> <ol style="list-style-type: none"> <li>Member chooses to leave contributions and interest on deposit at FCERA until the member is age 70, at which time the member is eligible to receive a retirement benefit regardless of years of service. Or, the member may withdraw contributions and interest.</li> <li>Member establishes reciprocity within six months after the date of terminating with the FCERA. The member may not cancel the deferred retirement or withdraw contributions while a member of a reciprocal agency. If an FCERA employer is the member's last employer, the member is permitted to cancel a deferred retirement and withdraw contributions plus interest. Canceling a deferred retirement election requires Board approval. <ol style="list-style-type: none"> <li>The reciprocal deferred member may be eligible for a FCERA retirement benefit when the member's contributions have been on deposit for a minimum of ten years.</li> <li>The reciprocal deferred member may begin receiving monthly retirement allowance at any time the member would have been eligible for a service retirement had the member remained in service with FCERA. Reciprocity is not broken if the member retires under FCERA eligibility and keeps working to meet the retirement age eligibility requirements of the reciprocal agency. That is, the member can receive a retirement benefit from FCERA while</li> </ol> </li> </ol>	2/3

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<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
		<p>working to meet the age eligibility of the reciprocal agency.</p> <p>3. Member does not establish reciprocity. If a member has not established reciprocity with a reciprocal agency, the PAS will allow the member to cancel the deferred retirement election and withdraw all contributions plus interest any time before the member begins receiving FCERA retirement benefits. Canceling a deferred retirement election requires Board approval.</p>	
505.008	Deferred Retirement	<p>The PAS will maintain the member in deferred retirement status until one of the following events occurs:</p> <ol style="list-style-type: none"> <li>1. the member contacts FCERA to begin receiving retirement benefits, or</li> <li>2. the member changes the previous decision to defer retirement. Canceling a deferred retirement requires Board approval.</li> </ol>	2
505.009	Deferred Retirement	The PAS will provide manual override of business rules to accommodate status changes and special circumstances.	2
505.010	Deferred Retirement	The PAS will include reports and/or alerts to identify when a member is age 70, and living, and in deferred retirement status.	2
505.011	Deferred Retirement	The PAS will provide the capability to generate a Reciprocity Denied/Confirmed Letter when the member's request for reciprocity has been decided.	2
505.012	Deferred Retirement	The PAS will provide the capability to generate a Termination Letter to the member.	2
505.013	Deferred Retirement	The PAS will provide the capability to generate a Request for Disposition of Funds Form to the member.	2
505.014	Deferred Retirement	The PAS will provide the capability to generate an Activity Report.	2
505.015	Deferred Retirement	The PAS will provide the capability to generate a Terminations Report.	2

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	Member Counseling	

## 4.4.506 Member Counseling

### 1 Overview

The goal of Member Counseling process is to ensure that members are prepared with information to make the necessary decisions when planning to retire.

The purpose of this document is to address the Member Counseling process including any business rules in connection with member counseling and any requirements that can be derived from current or desired processes for the future PAS system.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who have direct responsibility for serving the members.
County payroll	The County of Fresno employer payroll report to FCERA containing employee contributions and other information.

### 3 Process Overview

#### 3.1 Process Scope


The process begins when the member initiates contact with FCERA to begin or discuss the retirement process. This contact may be via phone, mail, email, or in person at the FCERA office, or at an off-site seminar.

A member can schedule a counseling appointment with a Retirement Coordinator at any point in their career. Most members, however, schedule an appointment or phone counseling close to their retirement.

Overall, counseling of the members throughout their membership with FCERA may occur through one or more of the following:

- Individual Member Counseling (this can happen either by phone or in person)
- New Employee Orientations (part of County HR)
- General Telephone Contact outside of Counseling needs (minimally)
- Newsletters
- FCERA's website

The retirement counseling process at FCERA leads the member through the decision-making so the member can realize the maximum retirement benefit.

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The process ends when the member has made informed choices regarding the member's retirement and all paperwork is in order to begin the New Retirement process (see process New Retirement-General).

### 3.2 Process Flow

No diagram is necessary to illustrate this process.

### 3.3 Process Steps


#### 3.3.1 Member Counseling

The general process steps for the counseling preparation, the session and the follow-up are listed below

1. Member contacts FCERA requesting a counseling appointment
2. Retirement Coordinator determines when the member intends to retire
3. Retirement Coordinator performs a thorough review of the member's file to ensure that all documents are in order. History cards, changes of named beneficiaries, life events, and other documents are examined. If any documents are missing, the Retirement Coordinator asks the member to bring those documents to the counseling session. (A file audit takes about 45 minutes on average.)
4. Retirement Coordinator prepares an estimate of retirement benefits for the member, based on the date the member proposed. The Estimate will contain only those Retirement Options appropriate to the member's situation.
5. Retirement Coordinator examines the member's age, years of service, birthday, reciprocity, and breaks in service to determine whether there are retirement dates or service purchase strategies that would maximize the retirement benefit for the member.
6. Retirement Coordinator sends a letter to the member's reciprocal agency(s) explaining the retirement
7. Retirement Coordinator prints out the Retirement Checklist (currently a Microsoft Word document)
8. Retirement Coordinator collects forms and information sheets that the member needs to address: 415b Limitations, Direct Deposit Form, various Tax Forms, and a release of address information to the Retired Employees of Fresno County.


### 3.4 Areas of Concern

1. The PAS will suggest retirement dates and other strategies to maximize the member's retirement benefit, given all the information that the PAS knows about the member.

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2. The PAS will generate the Retirement Checklist to aid the Retirement Coordinator in planning the counseling sessions
3. FCERA relies on the member to establish contact when the member wishes to pursue retirement. FCERA, currently, has few capabilities to help with proactive outreach to members approaching retirement eligibility. The PAS will provide capabilities to allow FCERA to identify which members are within certain time windows of retirement on an ongoing basis. The members of most concern are those who have recently vested, those who have 10 years in the system, and those who are within a certain number of years of retirement. The PAS will provide tools such as reports with flexible inputs, automatic reminders, or other alerting mechanisms to identify these members.
4. The PAS will provide the capability for the Retirement Coordinator to write file notes in an electronic document management system for topics that were discussed in the counseling session, and then to access the notes in the PAS system in the context of the member's account.
5. The PAS will support the capability for the Retirement Coordinator to follow up with the member by sending a general correspondence letter to restate any important points that were discussed in the session.
6. Currently, PENSIONS generates the Retirement Application populated with data specific to the member. However, the Termination Date and Retirement Date have to be entered on the Application manually. These dates are available in PENSIONS, but are not used to populate the Application automatically. The PAS will prompt the user to choose whether the dates entered on the most recent (or other) Estimate should be used on the application. If the answer is yes, the PAS will populate the Application with the dates from the chosen Estimate. If the answer is no, the Retirement Coordinator will enter the desired dates on the application. Answering no and entering custom dates on the Application will not affect the dates on any Estimate generated previously.
7. The PAS will generate letters to the reciprocal agencies relevant to the member using data from the PAS to populate the content of the letter.
8. The Retirement Coordinator uses information from the member's History Card to determine whether a service purchase might be a strategy for the member to maximize retirement benefits. The factors the Retirement Coordinator considers are listed below. Items a, b, c can indicate a break in service and therefore an opportunity for a service purchase.
  - a. LOA Medical
  - b. FMLA
  - c. Military Leave
  - d. Public Service
  - e. Reciprocity from another agency(s)
  - f. Extra Help time



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g. Redeposit

The PAS will examine the member's history and infer whether a service purchase would be a strategy for the member to maximize retirement benefit. If appropriate, the PAS will present the purchase strategies and their associated cost.


9. The PAS will infer from the member's history and electronic documents on file whether the member needs to produce further documents such as Marital Dissolution papers, Marriage certificate, Death certificate of spouse, etc.
10. The PAS will provide the capability to convert the member's remaining annual leave to service credit.
11. The PAS will provide reminders to the Retirement Coordinator when a new Estimate needs to be prepared. The key junctures for preparing a new Estimate are listed in Key Business Rules below.

### 3.5 Key Business Rules

1. The Termination Date and Retirement Date shown on the Application must equal the dates on the Retirement Options sheet (not the Estimate) presented to the member.
2. The member's remaining annual leave, including sick leave and time off, at termination can be converted to Service. The County or district employer will provide FCERA with the number of hours remaining for the member. (Note: Annual Leave plans are defined by the member's employment arrangement. FCERA merely takes the remaining annual leave data provided by the County or district employer and converts it to service.)
3. The member cannot purchase LOA Personal time toward retirement qualification.
4. The member can purchase the first two weeks of employment when the member was a new hire (contributions to FCERA do not start until the second payroll cycle).
5. Extra Help time can be purchased toward the vesting requirement.
6. A new Estimate is to be prepared
  - a. at the time the Retirement Option forms are generated
  - b. at the time the member's file is prepared for retiree payroll
  - c. when any adjustment is prepared

### 3.6 Data Points

PSBiweekly file

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## 4 Analysis & Recommendation


Currently, FCERA has few tools to help the staff pro-actively reach out to membership preparing for retirement. Planning and organization prior to meeting with members for pre-retirement counseling is done with MSEXcel and MSWord, coupled with PENSIONS data where applicable. Determining retirement strategies that best fit the member's situation is left to the Retirement Coordinator.

The recommendations for the Member Counseling process include general enforcement of business rules, integrated data, and some 'intelligence' built into the PAS to help the Retirement Coordinator present appropriate retirement strategies to the member. Along the same lines, automated checklists and letter generation will aid in creating consistency and efficiency within the process.

## 5 Requirements

The table below lists the formal requirements supporting the FCERA Member Counseling process.

ReqID	Process	Requirement details	Priority
506.001	Member Counseling	The PAS will provide tools, reports, scheduling, and other capabilities to assist FCERA is preparing members for retirement decisions.	1
506.002	Member Counseling	The PAS will generate the Retirement Checklist to aid the Retirement Coordinator in planning the counseling sessions.	2
506.003	Member Counseling	The PAS will provide capabilities to allow FCERA to identify which members are within FCERA-specified time windows of retirement on an ongoing basis. The members of most concern are those who have recently vested, those who have 10 years in the system, and those who are within in a FCERA-specified number of years of retirement. Tools such as reports with flexible inputs, automatic reminders, or other alerting mechanisms to identify these members are potential solutions to this requirement.	2
506.004	Member Counseling	The PAS will provide the capability for the Retirement Coordinator to write file notes in an electronic document management system for topics that were discussed in the counseling session, and then to access the notes from the PAS system in the context of the member's account.	2
506.005	Member Counseling	The PAS will provide the capability for the Retirement Coordinator to follow up with the member by sending a general correspondence letter to restate any important points that were discussed in the session.	2
506.006	Member Counseling	The PAS will prompt the user to choose whether the dates entered on the most recent (or other) Estimate should be used on the application. If the answer is yes, the PAS will populate the Application with the dates from the chosen Estimate. If the answer is no, the Retirement Coordinator will enter the desired dates on the application. Answering no and entering custom dates on the Application will not affect the dates on any Estimate generated previously.	2
506.007	Member Counseling	The PAS will generate letters to the reciprocal agencies relevant to the member using data from the PAS to populate the content of the letter.	2
506.008	Member Counseling	The PAS will suggest retirement dates and other strategies to maximize the member's retirement benefit, given all the information that the PAS	2

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<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
		knows about the member.	
506.009	Member Counseling	The PAS will examine the member's history and infer whether a service purchase would be a strategy for the member to maximize retirement benefit. If appropriate, the PAS will present the purchase strategies and their associated costs. The factors to consider are listed below. Items a, b, c can indicate a break in service and therefore an opportunity for a service purchase. a. LOA Medical b. FMLA c. Military Leave d. Public Service e. Reciprocity from another agency(s) f. Extra Help time g. Redeposit	2
506.010	Member Counseling	The PAS will infer from the member's history and electronic documents on file whether the member needs to produce further documents such as Marital Dissolution papers, Marriage certificate, Death certificate of spouse, Birth Certificates, etc.	2
506.011	Member Counseling	The PAS will provide the capability to convert the member's remaining annual leave, including sick leave and time off, to service credit using biweekly, semimonthly or monthly calculations as appropriate for the member.	2
506.012	Member Counseling	The PAS will provide reminders to the Retirement Coordinator when a new Estimate needs to be prepared: a) at the time the Retirement Option forms are generated b) at the time the member's file is prepared for retiree payroll c) when any adjustment is prepared	2
506.013	Member Counseling	The PAS will ensure the Termination Date and Retirement Date shown on the Application equal the dates on the Retirement Options sheet (not the Estimate) presented to the member.	2
506.014	Member Counseling	The PAS will prohibit the member from purchasing LOA Personal time toward retirement qualification.	2
506.015	Member Counseling	The PAS will allow the member to purchase Extra Help time toward the vesting requirement.	2
506.016	Member Counseling	The PAS will allow the member to purchase the first two weeks of employment from when the member was a new hire (contributions to FCERA do not start until the second payroll cycle).	2

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	Interest Posting	

## 4.4.508 Interest Posting

### 1 Overview

The primary objective of the Interest Posting process is to credit interest-earned to members' accounts.

### 2 Roles

PAS Role Name	Definition
FCERA IT	The person(s) at FCERA who support file imports/exports, direct database queries, desktops support, and other technical support areas.
FCERA Accounting	The group at FCERA responsible for financial management.
FCERA Management	The executive management team at FCERA
FCERA Staff	"Staff" at FCERA refers to non-management employees who have day-to-day responsibility to serve the members.

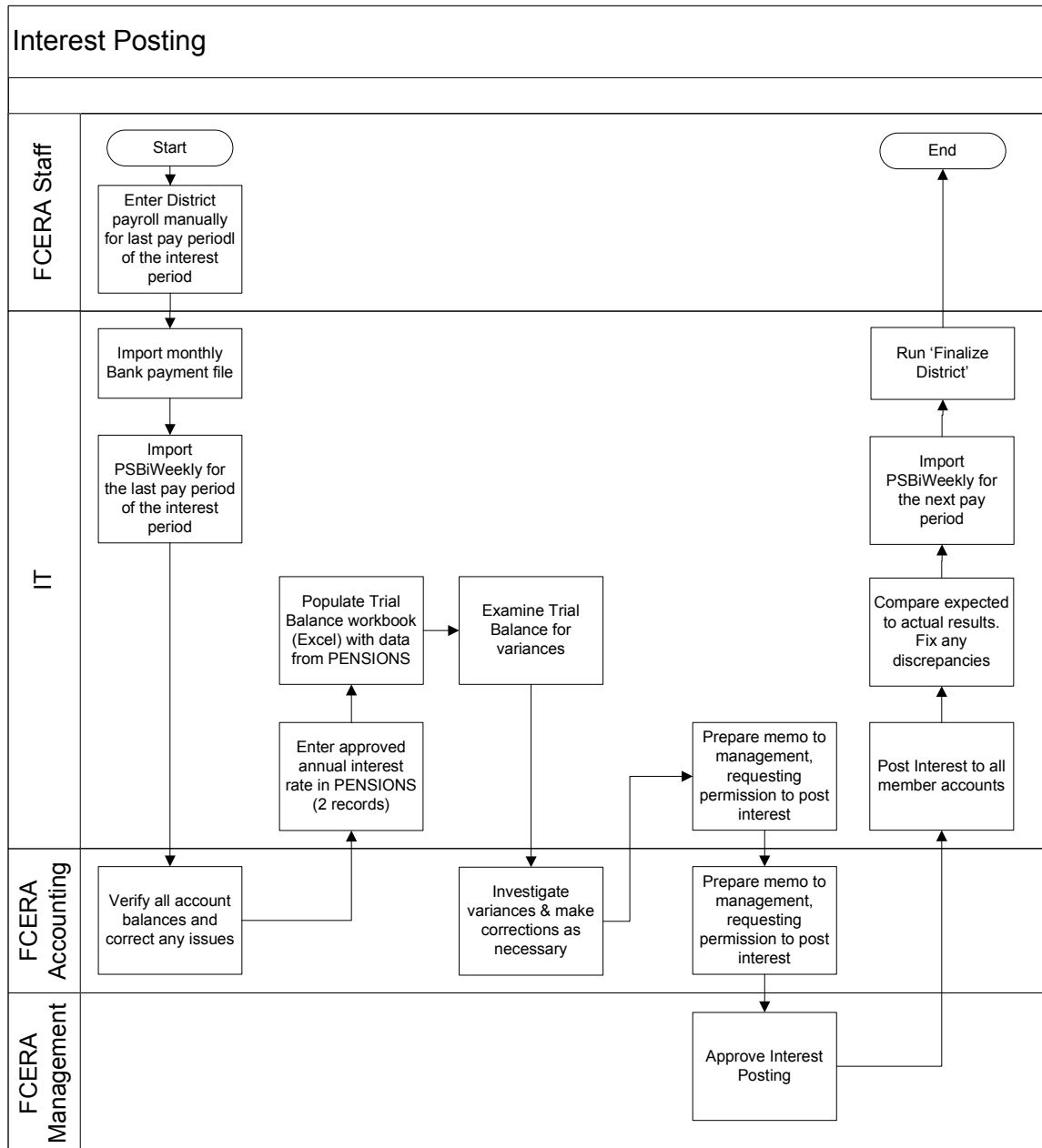
### 3 Process Overview

#### 3.1 Process Scope

The Interest Posting process begins after all known contributions are posted in PENSIONS that affect the prior six month contribution balance.

The Interest Posting process completes when the interest due has been posted, verified, and marked as reconciled.

#### 3.2 Current Process Flow




### 3.3 Current Process Steps

1. FCERA staff enters District members' contributions manually.
2. FCERA IT imports the monthly payments data file received from the Bank.
3. FCERA IT imports the biweekly data file (PSBiweekly) received from the County of Fresno. This PSBiweekly import must include the date of the period close (June 30 or Dec 31).
4. FCERA IT and Accounting verifies all account balances (and corrects any issues) in PENSIONS prior to starting the interest posting process.

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5. FCERA IT enters approved interest rate in PENSIONS. The annual rate is entered as two records: one dated June 30 and one dated December 31. PENSIONS automatically divides each by 2 when applying interest for the period.
6. FCERA IT begins the trial interest posting by first running a query against PENSIONS data for the following fields, and then importing the data into an Excel workbook.
  - a. Total Contributions to date(\$)
  - b. Total Interest to date (\$)
  - c. SSN
  - d. First Name on account
  - e. Last Name on account
  - f. Account category or Category Status (Active, Retired, Inactive, Refund, Deferred, etc)
7. For each member, the Excel-based trial interest posting calculates interest earned and adds that amount to the account balance at the close of the interest period. The new amount is used to identify variances.
8. Trial totals are grouped by account category (see list below)
9. FCERA IT examines the trial for variances of computed vs expected on the overall totals, group totals, as well as a sampling of accounts having different membership types and status. Variances that look unusual are forwarded to Accounting for investigation. The variances could be due to a simple data entry error (such as an incorrect date) made weeks or months earlier, or they could be something more serious. Variances are corrected.
10. FCERA IT and Accounting prepare a memo to Management requesting authorization to post interest to the production database.
11. FCERA Management approves posting of interest.
12. FCERA IT posts interest to members' accounts to the production database.
  - a. When the interest is posted, the interest transactions are left in an open status where further changes could be made. The interest transactions need to reach a status of 'reconciled' to prevent any further changing.
13. FCERA IT and Accounting verify results of actual vs expected after interest has posted.
14. FCERA IT imports the next bi-weekly payroll contributions file (PSBiweekly) from Plan Sponsor to PENSIONS.
  - a. The Plan Sponsor biweekly import not only imports the payroll contributions from the Plan Sponsor, but also marks the interest transactions as "reconciled". This step essentially closes the interest period and prevents further changes to interest transactions.

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15. FCERA IT runs report called “Finalize District”, which changes the status of the interest posting for District member accounts to “reconciled”.

### 3.4 Areas of Concern

1. The Interest Posting process takes 2-3 weeks to complete from beginning to end. It does not require full time work for this period. Streamlining and maintaining the integrity of the interest posting process within the PAS is high importance to FCERA.
2. FCERA desires the capability to calculate interest manually for a particular account or group of accounts, apply the interest to those accounts, and then exclude those accounts from the master run of interest posting. PENSIONS has this capability.
3. Because interest is computed off of the ending balance for the previous six-month period (i.e. June 30<sup>th</sup> or Dec 31<sup>st</sup>), the process of posting interest should not interfere with, nor be dependent upon, importing Plan Sponsor Biweekly payroll and the Bank payments file. FCERA wants the capability to process the import files independently of interest posting.
4. PENSIONS interprets the transaction type REFUND as an account termination. FCERA uses the transaction type ADJ (adjustment) with a comment added when refunding partial contributions to members, to reflect Refunds of contributions due to an age adjustment or other calculation error from FCERA. The future PAS needs to differentiate Refunds from Terminations.
5. While PENSIONS does not provide a trial interest posting capability, trial interest posting is a desired feature for a new PAS. The trial interest posting must be available at the individual account level, on a group of accounts selected manually or by conditional criteria, and on all accounts.
6. Occasionally errors are made, such as using an incorrect interest rate or posting contributions in prior periods. The PAS must be able to recalculate the correct interest amounts and generate a report of the corrections so that additional work/letters can be generated as needed. For example, if adjustments were made to historical contributions in a member's account, interest on the account may need to be recalculated from the adjustment date forward, using the interest rate in effect for each period.

### 3.5 Key Business Rules

1. The Board of Retirement determines the annual interest percentage rate each year on April 1. The approved annual percentage interest rate can be zero or more, up to the current maximum of 3%. This percentage rate will be effective for one year, with one-half of the approved rate applied June 30 and one-half of the rate applied December 31. Note that historical interest rates were higher than the current 3% maximum.

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2. Interest is computed on the cash value of the members' account balance at the close of the prior interest posting. (June 30 interest is computed on cash balance of the members' account after the prior December 31 interest posting. Similarly, the December 31 interest is computed on the cash balance after the prior June 30 interest posting.)
3. The PAS must allow entry of negative values for interest rate to accommodate special circumstances, exceptions, and corrections.
4. The PAS must allow entry and posting of \$0.00 dollar value for the interest amount, as well as positive and negative dollar values for the interest amount.
5. Tolerance for variances in the interest amounts to be posted is +/- \$0.02 (2 cents). Variances greater than this amount will be investigated prior to posting interest.
6. When interest is calculated, the resulting dollar amount is rounded to the nearest whole cent (\$0.01) before being credited to the member's account.
7. The PAS must accommodate numeric values for the interest rate with up to 3 digits on the left the decimal and 5 digits to the right of the decimal (999.99999).
8. Interest is credited to members' accounts twice per year: June 30 and December 31.
9. The account types that earn interest are Active, Inactive, Suspense, and Deferred, plus members who have left their contribution balance with FCERA but are not yet receiving their retirement benefit. Members and beneficiaries receiving benefits/periodic payments from FCERA do not earn interest on account balances.
10. Interest is calculated and posted for each combination of contribution category (Basic, COLA, Supplemental Basic, and Supplemental COLA) and Tier type accumulated through the members' tenure with FCERA.
11. If the interest rate for a particular period is 0%, \$0.00 interest is posted for each combination of contribution category (Basic, COLA, Supplemental Basic, and Supplemental COLA) and Tier type accumulated through the members' tenure with FCERA.

### 3.5.1 Interest and Employers' Reserve

The Interest Rate discussed in this document is referred to as Apportioned Interest Rate. FCERA also uses an interest rate called Assumed Interest Rate. The definitions and example below illustrate how the Board derives the Apportioned Interest Rate and its associated effect on Employers' Reserve accounts.

**Apportioned Interest Rate** on contributions is determined by Board and is equal to the COLA rate most recently issued to retirees. Each semi-annual interest posting uses one-half of the Apportioned Interest Rate to calculate interest on the members' contribution account balances.

**Assumed Interest Rate** (currently 8%) is FCERA's actuarial assumed rate of return.



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After every interest posting, where the interest is apportioned to the member's contributions, another amount of interest, calculated using the difference between one-half of the Assumed Interest Rate and one-half of the Apportioned Interest Rate, is credited to the Employers' reserve accounts.

**Example:** The last approved COLA increase for retirees was 1% annually. Therefore, on the next interest posting, an apportioned interest rate of 0.5% will be used to calculate interest on active member accounts. The Assumed Interest applicable to the period is 8%. Therefore, 3.5% interest (4% - .5%), computed on the member's account balance, will be credited to the associated Employer's reserve account.

At the time of the member's retirement, all interest credited over the years to the Employer's reserve account on behalf of the member is transferred to the member's account.

### 3.5.2 Currently Used Forms and Reports

The following reports and/or Excel worksheets are used in this process

Finalize District Report	Report that marks interest transactions on District members as Reconciled
Interest Trial Balance	Excel worksheet used to verify account balances prior to interest posting.

Groups used for trial interest posting verification:

Active General Tier 1
Active: General Tier 1/Tier 2
Active: General Tier 2
General Deferred
General Retired
General Inactive
General Suspense
General not participating
General clearinghouse
Safety Tier 1 Active
Safety Tier 2 Active
Safety Tier 2 mixed G2 and G3 active
Safety Deferred
Safety refund
Safety retired

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Safety inactive
Safety suspense
Safety not participating
Mixed suspense
Mixed deferred
General Deceased
District active
District Deferred
District Retired
General Tier 3 Active
Refunded problem from 6/30/2006 interest posting fixed
Mixed Tier 1, 2, 3 active
Safety Tier 2 active

### 3.6 Data Points

The following data integration points are employed in this process:

PS Biweekly file	Payroll import from County of Fresno
Payments file from Bank	Payments that have been issued by the Bank. Data is imported into PENSIONS.
Data from Districts	Obtained on paper and entered manually into PENSIONS

## 4 Analysis and Recommendation

The process of calculating and posting interest at FCERA is mostly manual and takes 2-3 weeks of part-time data validation before the interest transactions are posted to PENSIONS. Several process changes would decrease the amount of time for interest postings. The integrity of the interest calculations would also increase, as the transactions will be derived directly from PAS data rather than with an external tool.

The dependencies on current active payroll and Bank payment file imports need to be removed. These steps should not be relevant to interest posting. The fact the June 2010 active payroll has not yet been loaded should have no relevance to posting interest based on account balances as of the December 2009 interest posting. Similarly, the payment file from the Bank has little relevance to posting interest to eligible member accounts.

This does not diminish the importance of knowing the active payroll is up-to-date and the members' account statuses are up-to-date. The PAS should provide reports or other tools to ensure these pre-requisites have been fulfilled. The reports and verification tools should not be intertwined with interest calculations and posting. In other words FCERA should not have to import a June 2010 active payroll file to post interest on account balances as of the December 2009 interest posting, and then do another active payroll import to mark the interest transactions as 'reconciled'.

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All interest calculations, including trial balances, should be driven from the data within the PAS using tools the PAS provides. There should be no reason to perform trial balances in Excel or other external tool.

## 5 Requirements

The table below lists the formal requirements for the Interest Posting projects.


<b>ReqID</b>	<b>Process</b>	<b>Requirement detail</b>	<b>Priority</b>
508.001	Interest Posting	FCERA requires the PAS to provide an automated capability to calculate and post semi-annual interest to members' accounts.	1
508.002	Interest Posting	The PAS will provide reports to validate member account balances as of a user-specified date prior to calculating semi-annual interest on the account.	2
508.003	Interest Posting	The PAS will provide reports to validate member account statuses as of a user-specified date prior to calculating interest on the account.	2
508.004	Interest Posting	The PAS will validate that all active payroll contributions required to calculate interest for the interest period have been processed.	2
508.005	Interest Posting	The PAS will provide the capability to enter the approved annualized interest rate for member contributions. Currently, the annual interest rate is approved on April 1 each year.	2
508.006	Interest Posting	The PAS will provide the capability to change the approved annual rate each sixth month period. While this is not current practice at FCERA, it may need to be accommodated in the future.	2
508.007	Interest Posting	The PAS will preserve the history of all approved interest rates.	2
508.008	Interest Posting	The PAS will calculate the members' interest amounts using the member account balance as of the prior interest period interest posting (June interest is calculated using the account balance as of the previous December 31 interest posting. December interest is calculated using the account balance as of the previous June 30 interest posting).	2
508.009	Interest Posting	The PAS will calculate interest for each contribution category (Basic, COLA, Supplemental Basic, and Supplemental COLA) and Tier type appropriate to the members' accounts.	2
508.010	Interest Posting	The PAS will post interest for each contribution category (Basic, COLA, Supplemental Basic, and Supplemental COLA) and Tier type appropriate to the members' accounts.	2
508.011	Interest Posting	The PAS will calculate and post one-half of the annual interest rate for the June posting, and then one-half of the annual interest rate for the December posting.	2

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<b>ReqID</b>	<b>Process</b>	<b>Requirement detail</b>	<b>Priority</b>
508.012	Interest Posting	For each contribution category and Tier type combination appropriate to the member, PAS will calculate interest for the period as [Interest = Interest Rate% x 0.5 x \$value of category/Tier combination as of the previous period interest posting] (note that there could be many interest transactions posted for a member each interest period, when the various combinations of category and tier are considered)	2
508.013	Interest Posting	The PAS will round the calculated interest dollar amount to the nearest whole cent (\$.01)	2
508.014	Interest Posting	The PAS will provide the capability to create a trial interest posting prior to applying the semi-annual interest to the members' accounts. The trial interest posting will compute all interest amounts using the same rules and algorithms the actual interest posting uses.	2
508.015	Interest Posting	<p>The trial interest posting will provide, at a minimum, these data elements, for each member account:</p> <ol style="list-style-type: none"> <li>1. Total Contributions to date(\$)</li> <li>2. Total Interest to date (\$)</li> <li>3. Member SSN on the account</li> <li>4. First Name on account</li> <li>5. Last Name on account</li> <li>6. Account category or Category Status (Active, Retired, Inactive, Refund, Deferred, etc)</li> <li>7. Interest amount to be added (\$) to the account</li> <li>8. New balance on account after interest is added (\$)</li> </ol> <p>The PAS will provide the capability to view data elements of the trial interest posting data grouped and subtotaled by various dimensions to aid in the validation of the totals. An example of an acceptable grouping is shown below. A series of reports or a pivot table tool may be appropriate to aid in this analysis.</p> <p>Active  &gt;General  &gt;&gt;Employer 1  &gt;&gt;&gt;Member (\$total for all Tiers applicable to member)  &gt;&gt;&gt;Member (\$total for all Tiers applicable to member)  &gt;&gt;Total (\$) for Active-General-Employer 1  &gt;&gt;Employer 2  &gt;&gt;&gt;Member (\$total for all Tiers applicable to member)  &gt;&gt;&gt;Member (\$total for all Tiers applicable to member)  &gt;&gt;Total (\$) for Active-General-Employer 2  &gt;Total (\$) for Active-General</p> <p>&gt;Safety  &gt;&gt;Employer 1  &gt;&gt;&gt;Member (\$total for all Tiers applicable to member)  &gt;&gt;&gt;Member (\$total for all Tiers applicable to member)  &gt;&gt;Total (\$) for Active-Safety-Employer 1  &gt;&gt;Employer 2  &gt;&gt;&gt;Member (\$total for all Tiers applicable to member)  &gt;&gt;&gt;Member (\$total for all Tiers applicable to member)  &gt;&gt;Total (\$) for Active-Safety-Employer 2</p>	2

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<b>ReqID</b>	<b>Process</b>	<b>Requirement detail</b>	<b>Priority</b>
		>Total (\$) for Active-Safety Total (\$) for Active  Suspended -repeat tree as above  Deferred -repeat tree as about  Inactive -repeat tree as above  Refunded -repeated tree as above  Not Participating -repeated tree as above  Retired -repeated tree as above  Deceased -repeat tree as above  Overall (\$) Total	
508.016	Interest Posting	The PAS will notify the user, via a report or other mechanism, if any variances equal to or greater than \$0.02 are present in the trial balances. The user will correct variance prior to posting interest to productions.	2
508.017	Interest Posting	The PAS will provide the capability to run an automated job to post and finalize the calculated interest to the members' accounts once the trial balance is approved.	2
508.018	Interest Posting	The PAS will maintain an audit trail of the interest calculation and posting process that logs, at a minimum, timestamps, the start, warnings, errors, and the completion of the calculations and posting.	2
508.019	Interest Posting	The PAS will calculate and post interest for account types that are eligible to earn interest: Active, Inactive, Suspense, and Deferred, plus members who have left their contribution balance with FCERA but are not yet receiving their retirement benefit. The PAS will include partially refunded eligible accounts when calculating interest. All eligible accounts with a balance greater than \$0.00 will earn interest.	2
508.020	Interest Posting	The PAS will post interest transactions in the amount of the interest calculated for the interest period.	2
508.021	Interest Posting	The PAS will clearly indentify interest transactions as interest by including the word 'INTEREST' or 'INT' in the description or type of the transaction.	2
508.022	Interest Posting	The PAS will allow values for the interest rate to 3 digits to the left of the decimal and 5 digits to the right of the decimal (999.99999%).	2
508.023	Interest Posting	The PAS will allow the value zero (0%) as an interest rate.	2

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<b>ReqID</b>	<b>Process</b>	<b>Requirement detail</b>	<b>Priority</b>
508.024	Interest Posting	The PAS will allow both positive and negative values for interest rate.	2
508.025	Interest Posting	The PAS will allow the value zero dollars \$0.00 as an interest amount.	2
508.026	Interest Posting	The PAS will allow both positive and negative dollars values for interest amount.	2
508.027	Interest Posting	When the approved interest rate is 0% the PAS will post an amount of \$0.00 for each contribution category (Basic, COLA, Supplemental Basic, Supplemental COLA) and Tier type appropriate to the member (rather than posting no interest transaction for the period).	2
508.028	Interest Posting	The PAS will provide interest calculation and posting capabilities that are entirely independent of importing current pay period payroll transactions. (Interest is calculated based on the cash balance after the previous interest posting, not the current cash balance.	2
508.029	Interest Posting	The PAS will provide the capability for FCERA to calculate and post interest manually for accounts and groups of accounts that have special circumstances.	2
508.030	Interest Posting	The PAS will provide the capability to exclude from automated interest calculation and posting those accounts for which the interest calculation and posting was performed manually.	2
508.031	Interest Posting	The PAS will provide the capability to mark posted interest transactions as Pending while the posting is being verified and reconciled.	2
508.032	Interest Posting	The PAS will provide the capability to mark all Pending interest transactions as Reconciled once the interest posting has been verified.	2
508.033	Interest Posting	The PAS will provide the capability to mark individual Pending interest transactions as Reconciled once the interest posting has been verified.	2
508.034	Interest Posting	Once an interest transaction is marked as Reconciled, the transaction cannot be altered, except by a user with administrative permissions.	2
508.035	Interest Posting	The PAS will provide the capability for a FCERA used with administrative permissions to override interest calculations and post the amount manually, for extenuating circumstances.	2
508.036	Interest Posting	The PAS will calculate interest, run trial balances, and post interest without impact to other PAS operations.	2
508.037	Interest Posting	The PAS will provide the capability to recalculate the correct interest amounts when adjustments are made to contributions in prior periods.	2
508.038	Interest Posting	The PAS will provide the capability to calculate and post the necessary adjustments to interest at any time in the case of interest errors.	2
508.039	Interest Posting	The PAS will provide the capability to generate reports and letters detailing corrections to erroneous interest postings.	2

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<b>ReqID</b>	<b>Process</b>	<b>Requirement detail</b>	<b>Priority</b>
508.040	Interest Posting	<p>The PAS will provide the capability to calculate, at every semi-annual interest posting, an amount of interest based on the difference between one-half of the Assumed Interest Rate and one-half of the Apportioned Interest Rate, and credit that amount to the Employers' Reserve accounts.</p> <p>Example: An Apportioned Interest Rate of 0.5% is used to calculate interest on active member accounts. The Assumed Interest Rate applicable to the period is 8%. Therefore, 3.5% interest (4% - .5%), computed on the member's account balance, will be credited to the associated Employer's reserve account.</p>	2
508.041	Interest Posting	The PAS will provide the capability to transfer interest accumulated on the member's behalf in the Employer's Reserve account to the member's account at retirement.	2

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## 4.4.509 Retiree Payroll

### 1 Overview

The primary objective of the Retiree Payroll process is to issue the benefit checks to retired members or their beneficiaries, as well as lump sum distributions.

### 2 Roles

PAS Role Name	Definition
FCERA Payroll Unit	The group of individuals within FCERA who coordinate retiree payroll transactions with the distribution Bank.
FCERA Accounting	The group of individuals within FCERA who are responsible for the financials of the organization.
Bank	The Distribution Bank. State Street Bank.
Retirement Coordinator	Individuals within FCERA who administer the retirement program. Retirement Coordinators handle all day-to-day aspects of membership, disability, retirement, enrollment, etc.
PENSIONS	The current PAS in place at FCERA, originally built by Watson Wyatt
FCERA Staff	A general term for all non-management personnel at FCERA. Retirement Coordinators are considered Staff.

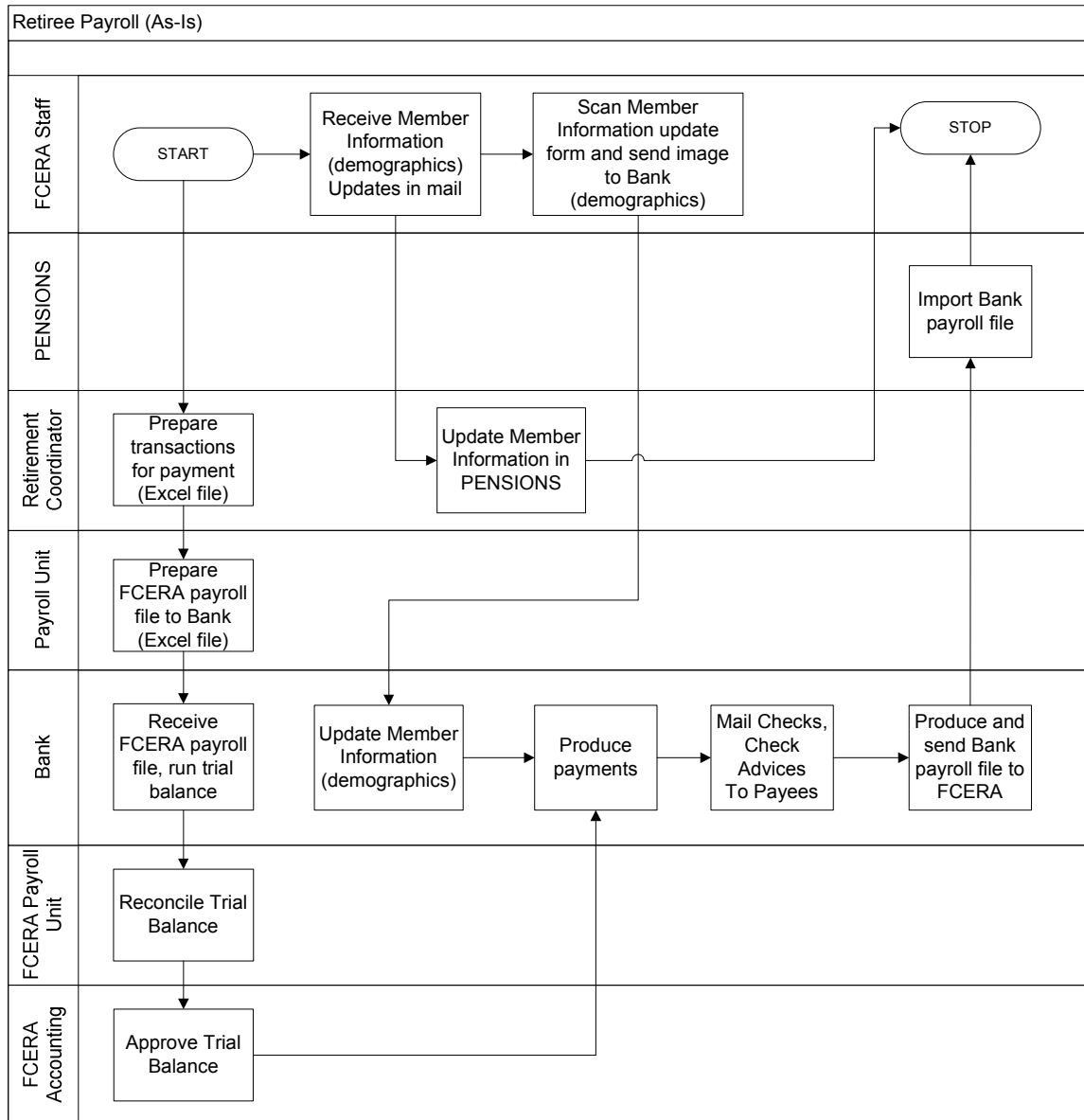
### 3 Process Overview

#### 3.1 Process Scope

The Retiree Payroll Process is a recurring process that begins as soon as the payroll for the preceding month has been completed. The process ends when the payroll output file from the Bank has been imported into PENSION and GL systems.


#### 3.2 Process Flow





### 3.3 Process Steps


1. FCERA sends new retiree and lump sum payroll information to the Bank in an Excel file. The instructions are created manually by Retirement Coordinators and forwarded to the Bank by FCERA's internal payroll unit.
2. Mid- to late- month the Bank sends FCERA a text file containing the payroll trial balance for approval. No payments are made at the Bank until FCERA Accounting approves the payroll.

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3. Upon receiving approval from FCERA for the trial balance, the Bank runs the payroll and makes the payments, either via Direct Deposit or paper check. The Bank mails paper checks and check advices to recipients.
4. The Bank sends a payroll output file to FCERA.
5. FCERA imports payroll output file from the Bank into PENSIONS, which posts the payments to the members' accounts in PENSIONS.

### 3.4 Areas of Concern

1. Processing the FCERA retiree payroll is a cumbersome process involving multiple manually-prepared Excel files that are used to develop the files sent to/from the Bank. FCERA wants the PAS to contain all the information necessary to create a payroll file interface to the Bank. Once this file is approved to be sent to the Bank, FCERA would consider the payroll to be complete and all payments would post to the individuals' accounts in the PAS. This streamlining could reduce the monthly retiree payroll processing to a few days each month. The PAS must provide adequate review, reconciliation, and quality assurance checks to allow this efficiency to happen.
2. The Bank imposes a constraint of one distribution per day per account id (a person/location). In some situations, such as lump sum distribution with both taxable and non-taxable portions, it is in fact legitimate to issue two payments to the same account id at the same time. The new PAS will look for multiple payments to the same account id on the same day and change the date on one of the payments to be one business day later to accommodate this constraint.
3. The desire/need for a data file coming back to the PAS from the Bank post-payroll is being debated. The data fields having potential value include actual check date, actual check amount, check clear date, and check number. (FCERA does not get check number now). Having this data would allow FCERA to quickly answer questions from members who have not received checks when expected. However, this data can be research on the Bank portal quite easily. Even if FCERA were to use a conventional payroll processor in the future (instead of the Bank), this information would be readily available to FCERA. So, the importance of processing payroll file from the Bank into the PAS seems low at this time, assuming FCERA adopts the PAS to be the single-source system of record for payroll generation.
4. Outstanding and stale-dated checks. Each month, FCERA gets a report from the Bank containing checks that are outstanding past 35 days. FCERA sends a letter to all members who appear on this report as a reminder to cash the check. Once the outstanding check goes un-cleared past 180 days, the check becomes stale-dated and the Bank will cancel the check, reallocating the funds back to FCERA. A member could receive up to six outstanding check letters. The number of outstanding/stale check is small enough that FCERA does not place a high priority on automating their processing. However, FCERA does want the PAS to have the capability for the user to designate a payment as outstanding and generate the letter to the member. Likewise


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for stale-dated checks: manually designate the payment as voided/expired, and generate a letter to the member.

### 3.5 Key Business Rules

#### 3.5.1 Policies

1. Benefit checks are payable on the last FCERA business day of the month (which is not always the last normal business day of the month).
2. Paper checks and check advices must be mailed on the 4<sup>th</sup> business day prior to the last FCERA business day of the month.
3. Currently, the payroll file to the Bank must be completed by FCERA by the 15<sup>th</sup> of the month, although this varies with the Bank's processing schedule.
4. Currently, the payroll output file from the Bank is available to FCERA immediately upon the Bank completing the payroll.
5. FCERA will be closed on the following days in recognition of the holiday celebrated on that date. If the last day of the month falls on one of the holidays recognized by FCERA, or on a weekend, the retiree payroll date will be moved up to the day preceding the holiday or weekend.
  - January 1 (New Year's Day) (preceding Friday if holiday falls on Saturday, following Monday if holiday falls on Sunday)
  - Third Monday in January (Martin Luther King Day)
  - Third Monday in February (President's Day)
  - March 31 (Cesar Chavez Day) (preceding Friday if holiday falls on Saturday, following Monday if holiday falls on Sunday)
  - Fourth Monday In May (Memorial Day)
  - July 4 (Independence Day) (preceding Friday if holiday falls on Saturday, following Monday if holiday falls on Sunday)
  - First Monday in September (Labor Day)
  - November 11 (Veteran's Day) (preceding Friday if holiday falls on Saturday, following Monday if holiday falls on Sunday)
  - Fourth Thursday and Friday in November (Thanksgiving Day)
  - December 25 (Christmas Day) (preceding Friday if holiday falls on Saturday, following Monday if holiday falls on Sunday)
6. Off-cycle payment requests can be accommodated and involve the same process as above, except the Bank will process the payment within a few business days. Off-cycle payments are used in emergencies only.
7. The Bank imposes a constraint of one account id (a person/location) can receive one payment within one day. To get around this constraint, the payment date will be changed to one business day later.

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8. The dollar amount of the basic retirement benefit amount transmitted to Bank includes any enhancement resulting from a Golden Handshake arrangement. The Years of Service value transmitted to the Bank represents actual years of service worked with no additional years added for a Golden Handshake.

### **3.5.2 Voluntary Payroll Deductions**

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The member may authorize deductions from his/her retirement benefits for Federal and State Income tax, health insurance under a County plan, dues for membership in the Retired Employees of Fresno County Organization. Currently, no other voluntary deductions are authorized from the member's retirement benefits at this time.

It is by exception only that repayment of overpaid benefits will be handled as a payroll Deduction. Normally, repayments are handled via one or more reductions to the base benefit amount. Once the repayment has completed, the reduction(s) stop and the base benefit amount is adjusted to the full base benefit. Each reduction can have a different stop date.

### **3.5.3 Mandatory Payroll Deductions**

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The member may be ordered to have mandatory deductions from his/her retirement benefit payments. Such mandatory deductions may include Alimony, Child Support, repayments, or other deductions.

### **3.5.4 Federal and State Income Tax**

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The retirement benefit is generally taxable and subject to Federal and State Income Tax laws. The member may choose to have no taxes withheld from the retirement benefit.

The rules for taxability are documented in the respective process documentation.

### **3.5.5 Currently Used Forms and Reports**

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Direct Deposit Form


Withholding Certificate for Pension or Annuity Payments W-4P

Withholding Certificate for Pension or Annuity Payment DE 4P

State Withholding request for other states

Change of Address Form

REFCO forms for release of information and dues

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## 3.6 Data Integration Points

### 3.6.1 Payroll files to State Street Bank from FCERA

Currently, Excel files containing retiree payroll transactions are sent to the Bank via secure email from the Bank portal. There are several file formats, one for each type of payment. The information in these files is derived by the Retirement Coordinator using PENSIONS and manual calculations. The data is hand-entered.

See Appendix for various file layouts to exchange data with State Street Bank. The Excel-based via NBX is the specification that is used currently to send payroll transactions to State Street Bank.

### 3.6.2 Payroll file FROM State Street Bank to PENSIONS

When the Bank has completed the payroll run, FCERA receives a file from the Bank with payroll transactions to post in PENSIONS. This file is also used to reconcile expected payments to actual payments.

See Appendix for various file layouts used to exchange data with State Street Bank.

## 4 Analysis and Recommendation

One of FCERA's most important requirements of a new PAS is to eliminate the Excel-based preparation of retiree and lump-sum payroll to the Bank. FCERA wants the payroll data to be prepared by the PAS in an output file format the Bank can accept. This change alone will decrease significantly the amount of labor FCERA invests in payroll preparation each month. Beyond the efficiencies gained, accomplishing this goal also allows FCERA to adopt complete control of the payment data, thereby making the PAS (not the Bank) the system of record for FCERA payroll payments.


Given the goal, FCERA has a few options.

Option 1 – FCERA performs all distribution payroll processing in-house, including payment execution and check printing.

Most modern PAS products support this model with the addition of check printing equipment and software. Demographic information would be maintained in-house. However, this option is not practical for FCERA, considering the mailing costs, physical space, and additional staff required.

Option 2 – FCERA performs net distribution payroll processing in-house, outsourcing payment execution and check printing.

Most modern PAS products support this model very well. In fact, this is a very popular model among public pension organizations. This option keeps control of all pension data in-house, while outsourcing the highly inefficient production and mailing operations. Demographic information

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would be maintained in-house. The PAS can become the system of record quite easily with this model.

Note that FCERA does not currently perform tax withholding administration in-house, relying instead on the resources of the Bank to do so. This option would bring tax administration in-house. While the calculations would be done in-house, the actual filing and payment of taxes could be done by the outsourced provider on FCERA's behalf.

Option 3 – FCERA performs gross distribution payroll processing in-house, outsourcing tax administration, check printing, and payment execution.

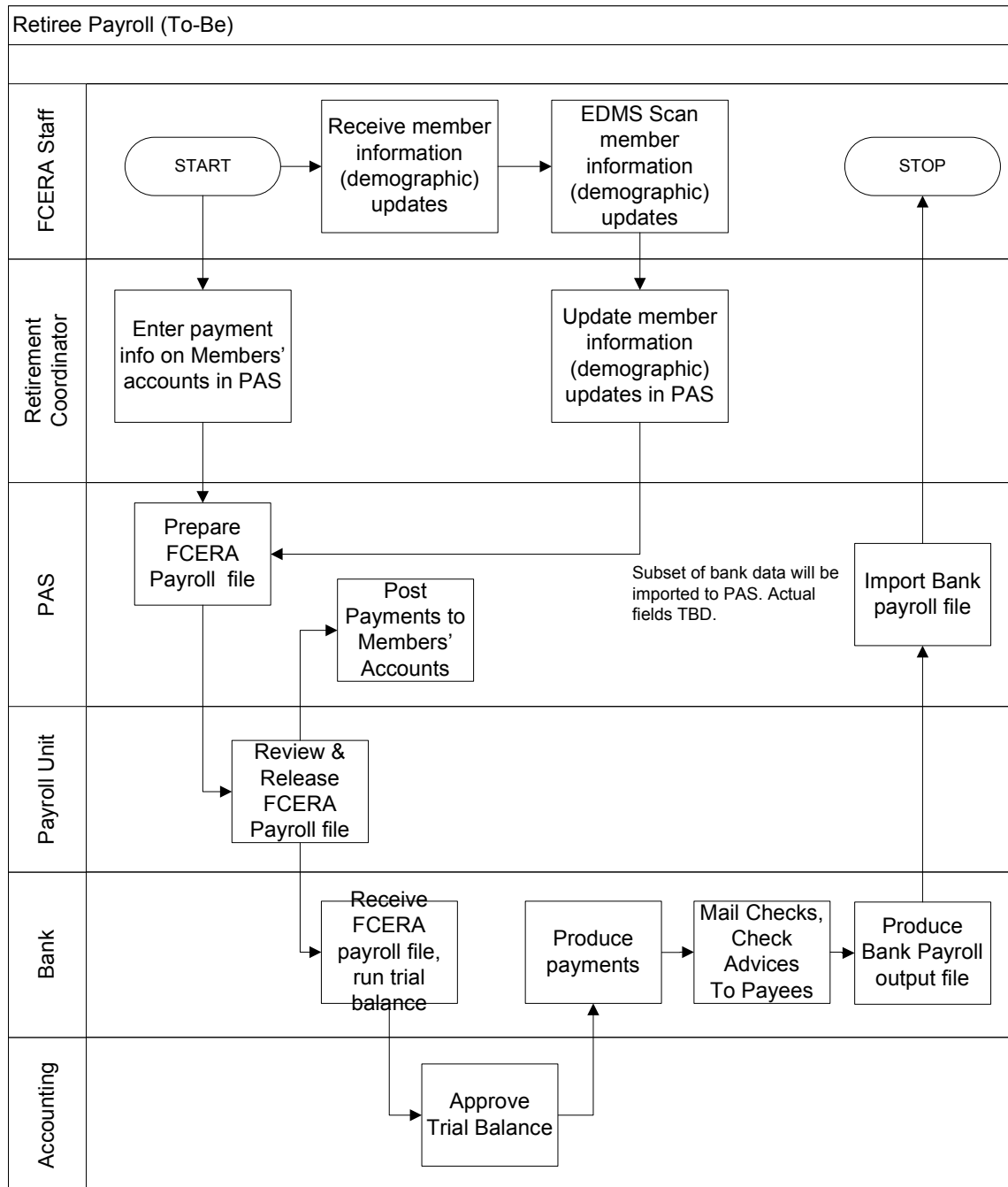
Most modern PAS products support this model also. Similar to the option for net distribution processing, this option keeps control of all pension data except tax withholding in-house, while outsourcing the intrinsically inefficient production and mailing operations. Demographic information would be maintained in-house. FCERA would continue to rely on the Bank to do tax withholding administration. Because the actual payment amount will likely be different than the gross amount calculated in the PAS, this option would necessitate importing the actual Bank payroll transactions into the PAS. After importing transactions from the Bank, the PAS could become the system of record for the payroll.

Option 4 – FCERA outsources the distribution payroll system of record to the Bank, along with payment execution and check distribution (as is done today)

This option involves sending, from the PAS, only new payroll set-ups, stops, changes, and lump sum distributions to the Bank. The Bank maintains demographics, tax withholding administration, and the ongoing payroll roster. This option necessitates importing the full output file containing the payroll transactions executed by the Bank.

Once FCERA decides on the model it wishes to adopt for distribution payroll, the topic of what information is needed from the Bank at the completion of payment processing can be addressed. With Option 1, this is not an issue, as all information is in-house. Option 2 would involve importing some supplemental information like check numbers, actual payment dates, and other desired information. Option 3 would involve importing the data of Option 2 plus tax withholding and the net payment amounts. Option 4 involves importing the full payment transactions from the Bank into the PAS because the PAS is not the originator of the monthly payments.


The diagram below depicts a processing model where FCERA brings all data ownership in-house, outsourcing only the payment execution and check distribution (Option 2).



## 5 Requirements


The table below lists the formal requirements of a PAS to fulfill the scope and objectives of Retiree Payroll Processing (including all lump sum distributions). The PAS is expected to support FCERA's evolution by supporting Options presented under Analysis and Recommendations.




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	<b>Retiree Payroll</b>	

<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
509.001	Retiree Payroll	The PAS will provide functionality to complete monthly retiree and lump sum payroll processing at FCERA.	1
509.002	Retiree Payroll	The PAS must provide adequate review, reconciliation, and quality assurance checks to ensure the payroll data is correct regardless of the processing model FCERA adopts.	1
509.003	Retiree Payroll	The PAS will provide the capability to create payroll interface file(s) compatible with the Bank.	3
509.004	Retiree Payroll	The PAS will provide the capability to create payroll interface file(s) containing new retirements.	2
509.005	Retiree Payroll	The PAS will provide the capability to create payroll interface file(s) containing recurring pension payments.	2
509.006	Retiree Payroll	The PAS will provide the capability to create payroll interface file(s) containing lump sum distributions.	2
509.007	Retiree Payroll	The PAS will provide the capability to import the Bank's payroll output file into the PAS.	3
509.008	Retiree Payroll	The PAS will provide the capability to select a subset of fields in the Bank's payroll output file for importing into the PAS.	2
509.009	Retiree Payroll	The PAS will provide the capability to warn FCERA staff when an individual payee account id is scheduled to receive two payments on the same FCERA business day.	2
509.010	Retiree Payroll	The PAS will provide the capability to automatically change the payment date to the next FCERA business day when an individual payee account id is scheduled to receive two payments on the same day.	2
509.011	Retiree Payroll	The PAS will provide the capability to change the payment date manually to the next FCERA business day when an individual payee account id is scheduled to receive two payments on the same day.	2
509.012	Retiree Payroll	The PAS will provide the capability to compute proper tax withholding based on W4P and tax tables.	2
509.013	Retiree Payroll	The PAS will provide the capability to compute proper tax withholding based on DE 4P and tax tables.	2
509.014	Retiree Payroll	The PAS will provide the capability to compute proper tax withholding based on other states' withholding and tax tables.	4
509.015	Retiree Payroll	The PAS will provide the capability to compute proper tax withholding based on NRA tax rules.	4
509.016	Retiree Payroll	The PAS will provide the capability to accommodate off-cycle payment requests.	1
509.017	Retiree Payroll	The PAS will provide the capability to provide gross payment information (pre-tax) to an outsourced payroll processor.	1
509.018	Retiree Payroll	The PAS will provide the capability to provide net payment information (post-tax) to an outsource payroll processor.	4
509.019	Retiree Payroll	The PAS will provide the capability to calculate payment amounts funded from an unlimited number of funding sources.	1
509.020	Retiree Payroll	The PAS will provide the capability to issue payments from an unlimited number of funding sources.	2
509.021	Retiree Payroll	The PAS will provide the capability to include an unlimited number of voluntary deductions to the member's gross payment amount in the payroll interface file. (Currently, the only authorized voluntary deductions are Federal and State Income tax, health insurance under a County plan, dues for membership in the Retired Employees of Fresno County Organization.)	1
509.022	Retiree Payroll	The PAS will provide the capability to include an unlimited number of mandatory deductions to the member's gross payment amount, as ordered	1




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ReqID	Process	Requirement details	Priority
		by Court or other authoritative body, in the FCERA payroll interface file. (Such mandatory deductions could be for Alimony, Child Support, repayments, or other deductions that FCERA has been ordered to apply.)	
509.023	Retiree Payroll	The PAS will provide the capability to include an unlimited number of reductions to the member's gross benefit amount in the payroll interface file, with each reduction having its own stop date. (This is often done for repayment of funds to FCERA, rather than using a payroll deduction.)	1
509.024	Retiree Payroll	The PAS will provide the capability to treat repayments as a deduction, by exception only. (Usually repayments are done as a reduction to gross benefit amount, not a deduction from payroll.)	2
509.025	Retiree Payroll	The PAS will provide the capability to include an unlimited number of adjustments to the member's gross benefit amount in the payroll interface file. (Adjustments include amounts for COLA, Supplemental COLA, and Health Benefits)	2
509.026	Retiree Payroll	<p>The PAS will compute payment dates based on the FCERA business calendar. FCERA will be closed on the following days in recognition of the holiday celebrated on that date. If the last day of the month falls on one of the holidays recognized by FCERA, or on a weekend, the PAS will change the payroll payment date to be the FCERA business day preceding the holiday or weekend.</p> <ul style="list-style-type: none"> <li>• January 1 (New Year's Day) (preceding Friday if holiday falls on Saturday, following Monday if holiday falls on Sunday)</li> <li>• Third Monday in January (Martin Luther King Day)</li> <li>• Third Monday in February (President's Day)</li> <li>• March 31 (Cesar Chavez Day) (preceding Friday if holiday falls on Saturday, following Monday if holiday falls on Sunday)</li> <li>• Fourth Monday In May (Memorial Day)</li> <li>• July 4 (Independence Day) (preceding Friday if holiday falls on Saturday, following Monday if holiday falls on Sunday)</li> <li>• First Monday in September (Labor Day)</li> <li>• November 11 (Veteran's Day) (preceding Friday if holiday falls on Saturday, following Monday if holiday falls on Sunday)</li> <li>• Fourth Thursday and Friday in November (Thanksgiving Day)</li> <li>• December 25 (Christmas Day) (preceding Friday (preceding Friday if holiday falls on Saturday, following Monday if holiday falls on Sunday)</li> </ul>	1
509.027	Retiree Payroll	The PAS will provide capabilities to ensure that paper checks and check advices can be mailed on the 4 <sup>th</sup> business day prior to the last FCERA business day of the month.	1
509.028	Retiree Payroll	The PAS will provide the capability to recreate a payroll file if errors where found and corrected prior to FCERA authorizing payments.	2
509.029	Retiree Payroll	The PAS will provide the capability to retransmit a payroll file to an outsourced provider if the previous transmit failed.	2
509.030	Retiree	The PAS will provide the capability to include demographic information in	1

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<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
	Payroll	the interface file to the payment processor.	
509.031	Retiree Payroll	The PAS will provide the flexibility for FCERA to adopt gradual improvements to the payroll processing model. FCERA may chose to continue with the current model for a period of time, changing at a convenient start of a future quarter or year.	3
509.032	Retiree Payroll	The PAS will include in the basic benefit amount sent to the Bank, the increase to the basic benefit amount resulting from a golden handshake.	1
509.033	Retiree Payroll	The PAS will exclude from the years of service value sent to the Bank, the additional years of service resulting from a golden handshake.	1
509.034	Retiree Payroll	The PAS will maintain the separation of retirement benefits when one member spouse survives another member spouse. For example, if both spouses are FCERA members and one dies, the surviving spouse receives their own retirement and the retirement benefits as a beneficiary of their spouse. The two benefits cannot be merged.	1
509.035	Retiree Payroll	The PAS will provide the capability to query the PAS for checks that have not cleared for N days, where N is entered by the user.	2
509.036	Retiree Payroll	The PAS will provide the capability to generate an editable letter to the member when a payment check has not cleared after 35 days.	2
509.037	Retiree Payroll	The PAS will provide the capability to manually designate a check payment as stale-dated when the check has not cleared for 180 days.	2
509.038	Retiree Payroll	The PAS will provide the capability to generate and editable letter to the member when a check payment has been voided as stale-dated.	2

## 6 Appendices


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## 6.1 Appendix – File Layout for FCERA Payroll File to State Street Bank


POSITION	LENGTH	FORMAT	FIELD NAME	PLUS FIELD	COMMENTS
01 - 09	9	Text	Location Code	Second Segment Account ID	Table following Layout.
10 - 18	9	Text	Participant's SSN	Pensioners SSN	
19 - 38	20	Text	Participant's Last Name	Participant's Last Name	
39 - 50	12	Text	Participant's First Name	Participant's First Name	
51 - 82	32	Text	Bank Name	30 Character UDF field 01	
83 - 83	1	Text	Check Type	Pay Method	C= Check    A=EFT
84 - 84	1	Text	Federal Tax Election	Federal Tax Election	N=No Withholding    C=Calculate Table    D= Fixed Amount B=Table PLUS Additional Amount Blank = default Married +03
85 - 85	1	Text	Federal Marital Status	Federal Marital Status	M=Married    S=Single
86 - 87	2	Text	Federal # of Dependents	Federal Exemptions	
88 - 88	1	Text	ACH Account Type	Pay Method	C=Checking    S=Savings
89 - 97	9	Numeric	ACH Bank Number	ACH Bank #	
98 - 114	17	Numeric	ACH Acct Num	ACH Acct #	
115 - 124	10	Text	Insurance Code	10 Character UDF field 01	
125 - 135	11	Numeric	Annuity	Source 001 plus Source 002	
136 - 146	11	Numeric	Annuity Year to Date	Calculate Year to Date total of Source 001 and Source 002	
147 - 157	11	Numeric	Federal Tax Amount		
158 - 168	11	Numeric	Federal Tax Year to Date Amount		
169 - 179	11	Numeric	Current Service	Source 007	
180 - 190	11	Numeric	Current Service Year to Date Amount	Source 007	

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191 - 201	11	Numeric	State Tax Amount		
202 - 212	11	Numeric	State Tax Year to Date Amount		
213 - 223	11	Numeric	COL	Source 004	
224 - 234	11	Numeric	COL Year to Date	Source 004	
235 - 245	11	Numeric	Insurance Amount	Deduction 008	
246 - 256	11	Numeric	Insurance Year to Date Amount	Deduction 008	
257 - 267	11	Numeric	Survivor	Source 021	
268 - 278	11	Numeric	Survivor Year to Date	Source 021	
279 - 289	11	Numeric	Dues Amount	Deduction 004	
290 - 300	11	Numeric	Dues Year to Date Amount	Deduction 004	
301 - 311	11	Numeric	Health Benefit	Source 009	
312 - 322	11	Numeric	Health Benefit Year to Date Amount	Source 009	
323 - 333	11	Numeric	Health Benefit 2	Source 008 plus Source 022	
334 - 344	11	Numeric	Health Benefit 2 Year to Date Amount	Source 008 plus Source 022	
345 - 355	11	Numeric	Interest	Source 010	
356 - 366	11	Numeric	Interest Year to Date	Source 010	
367 - 377	11	Numeric	All other Deduction Amounts	Total of Deductions 005, 006, 007, 009	Current month amount for all deductions except FW, SW, Deduction 004 and Deduction 008
378 - 388	11	Numeric	All other Deduction Amounts Year to Date	Total of Deductions 005, 006, 007, 009	
389 - 399	11	Numeric	Supp Retire Benefit	Source 019	
400 - 410	11	Numeric	Supp Retire Benefit Year to Date Amount	Source 019	
411 - 421	11	Numeric	Supp COL	Source 020	
422 - 432	11	Numeric	Supp COL Year to Date	Source 020	
433 - 443	11	Numeric	Supp Annuity	Source 018	
444 - 454	11	Numeric	Supp Annuity Year to Date Amount	Source 018	
455 - 465	11	Numeric	Current Gross Amount		

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466 - 476	11	Numeric	Gross Pay Year to Date Amount		
477 - 487	11	Numeric	Current Net Amount		
488 - 498	11	Numeric	Net Year to Date Amount		
499 - 499	1	Text	State Tax Election	State Tax Election	N=No Withholding C=Calculate Table D= Fixed Amount B=Table PLUS Additional Amount Blank = default Married +03
500 - 500	1	Text	State Marital Status	State Marital Status	M=Married S=Single
501 - 502	2	Text	State # of Dependents	State Exemptions	
503 - 513	11	blank	Blank	Blank	Blank
514 - 545	32	Text	EFT Address 1	Secondary Address - Line 2	Information will be available on 2/29 file
546 - 577	32	Text	EFT Address 2	Secondary Address - Street	Information will be available on 2/29 file
578 - 597	20	Text	EFT City	Secondary Address - City	Information will be available on 2/29 file
598 - 599	2	Text	EFT State	Secondary Address - State	Information will be available on 2/29 file
600 - 608	9	Numeric	EFT Zip	Secondary Address - Zip Code	Information will be available on 2/29 file
609 - 640	32	Text	Tax Address	Line 2 Primary Address Field	
641 - 672	32	Text	Tax Address	Street Primary Address Field	
673 - 692	20	Text	Tax Address	City - Primary Address Field	
693 - 694	2	Text	Tax Address	State - Primary Address Field	
695 - 703	9	Text	Tax Address	Zip Code-Primary Address Field	
704 - 711	8	Text	Participation Date	UDF Date field 02- format mmddccyy	Information will be available on 2/29 file
712 - 722	11	Numeric	NonTax Annuity	Source 011	
723 - 733	11	Numeric	NonTax Annuity Year to Date	Source 011	
734 - 744	11	Numeric	NonTax COL	Source 012	
745 - 755	11	Numeric	NonTax COL Year to Date Amount	Source 012	
756 - 766	11	Numeric	NonTax Cursv	Source 013	
767 - 777	11	Numeric	NonTax Cursv Year to Date Amount	Source 013	
778 - 788	11	Numeric	NonTaxSupan	Source 014	


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789 - 799	11	Numeric	NonTaxSupan Year to Date Amount	Source 014	
800 - 810	11	Numeric	NonTaxSupco	Source 015	
811 - 821	11	Numeric	NonTaxSupco Year to Date Amount	Source 015	
822 - 832	11	Numeric	NonTax Survr	Source 016	
833 - 843	11	Numeric	NonTax Survr Year to Date Amount	Source 016	
844 - 851	8	Text	Date of Separation	Retirement Date	
852 - 861	10	Text	10 position SSN	n/a	State Street does not use.
862 - 872	11	Numeric	CSRVTAO	Source 006	
873 - 883	11	Numeric	CSRVTAO Year to Date Amount	Source 006	
884 - 894	11	Numeric	SUPATAO	Source 017	
895 - 905	11	Numeric	SUPATAO Year to Date Amount	Source 017	
906 - 916	11	Numeric	ANNUTAO	Source 003	
917 - 927	11	Numeric	ANNUTAO Year to Date Amount	Source 003	
928 - 938	11	Numeric	COLATAO	Source 005	
939 - 949	11	Numeric	COLATAO Year to Date Amount	Source 005	

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## 6.2 Appendix – File Layout for Payroll File from State Street Bank

Relative Position	Length	Format	Pensions Field	State Street Data Element / Field Description	Comments
1-9	9	Text	PymtHist.AcctType	PA180 – PA Location	GNQD = GEN QDRO GNRL = GENERAL GNBP = GENERALBP SAQD = SAFE QDRO SAFE = SAFETY SURV = SURVIVOR GNSD=GENNSCD SNSD=SAFNSCD GSNS=GENSVNSCD SSNS=SAFSVNSCD GSCD=GENSCD SSCD=SAFSCD SSSC=SAFSVSCD GSSC=GENSVSCD SABP=SAFETYBP All OTHER=PA-LOCATION-CODE
10-18	9	Text	Person.SSN	CK010 – PA Number	Pass the first 9 digits
19-38	20	Text	Person.LName	CK110 – PA Name	OmniPay combines last and first name into a 40 character field (last, first)
39-50	12	Text	Person.FName	CK110 – PA Name	OmniPay combines last and first name into a 40 character field (last, first)  If first name is > 12, last 8 characters will truncate.


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Relative Position	Length	Format	Pensions Field	State Street Data Element / Field Description	Comments
51-82	32	Text	PayeeAdmin.BankName	BT429– Bank Name	If bank name > 32 characters, last 8 characters will truncate
83-83	1	Text	PymtHist.CheckType		C (Computer Check) A (ACH Check)
84-84	1	Text	PayeeAdmin.FedElect	CD515 – Deduction Method	0 = N (No tax) F = D (Fixed Dollar Amount) If CD515=X, and if SD510 = 0 (Payee SD510, not Installment SD510), then map C (Calculated Tax) If CD515=X, and if SD510 > 0 (Payee SD510, not Installment SD510), then map B (Calc & fixed \$ amt)
85-85	1	Text	PayeeAdmin.TaxMaritalStatus	CD551 – Marital Status	J = M Married S = S Single
86-87	2	Numeric	PayeeAdmin.TaxDependents	CD550 - Exemptions	
88-88	1	Text	PayeeAdmin.ACHAcctType	Sequence 02 – Record ID (Base Text Key)	PC01 = C Checking PS01 = S Savings
89-97	9	Numeric	PayeeAdmin.ACHBankNum	BT401 – EFT Routing / Transit #	
98-114	17	Numeric	PayeeAdmin.ACHAcctNum	BT406 – EFT Account Number	
115-124	10	Text	PymtHist.InsCode	CD520 – Table Key	INS 1 – only sending the last 3 characters of this code
125-135	11	Numeric	PymtHist.Annuity	DF715 – Fund Amount	ANNUITY 999,999,999.99
136-146	11	Numeric	PymtYTD.Annuity	DF750 – Fund YTD	ANNUITY 999,999,999.99
147-157	11	Numeric	PymtHist.FedWith	CD503 – Deduction Amount	FEDTX 999,999,999.99




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<b>Relative Position</b>	<b>Length</b>	<b>Format</b>	<b>Pensions Field</b>	<b>State Street Data Element / Field Description</b>	<b>Comments</b>
158-168	11	Numeric	PymtYTD.FedWith	CD513 – YTD Deduction Amount	FEDTX 999,999,999.99
169-179	11	Numeric	PymtHist.CurrServ	DF715 – Fund Amount	CURSERV 999,999,999.99
180-190	11	Numeric	PymtYTD.CurrServ	DF750 – Fund YTD	CURSERV 999,999,999.99
191-201	11	Numeric	PymtHist.StateWith	CD503 – Deduction Amount	TAXst 999,999,999.99
202-212	11	Numeric	PymtYTD.StateWith	CD513 – YTD Deduction Amount	TAXst 999,999,999.99
213-223	11	Numeric	PymtHist.COL	DF715 – Fund Amount	COL 999,999,999.99
224-234	11	Numeric	PymtYTD.COL	DF750 – Fund YTD	COL 999,999,999.99
235-245	11	Numeric	PymtHist.Ins	CD503 – Deduction Amount	INS 1 999,999,999.99
246-256	11	Numeric	PymtYTD.Ins	CD513 – YTD Deduction Amount	INS 1 999,999,999.99
257-267	11	Numeric	PymtHist.Survivor	DF715 – Fund Amount	SURVR 999,999,999.99
268-278	11	Numeric	PymtYTD.Survivor	DF750 – Fund YTD	SURVR 999,999,999.99
279-289	11	Numeric	PymtHist.Dues	CD503 – Deduction Amount	DUES 999,999,999.99

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<b>Relative Position</b>	<b>Length</b>	<b>Format</b>	<b>Pensions Field</b>	<b>State Street Data Element / Field Description</b>	<b>Comments</b>
290-300	11	Numeric	PymtYTD.Dues	CD513 – YTD Deduction Amount	DUES 999,999,999.99
301-311	11	Numeric	PymtHist.HealthBenefit	DF715 – Fund Amount	HLTHBEN 999,999,999.99
312-322	11	Numeric	PymtYTD.HealthBenefit	DF750 – Fund YTD	HLTHBEN 999,999,999.99
323-333	11	Numeric	PymtHist.HealthBenefit2	DF715 – Fund Amount	HEALTH2 999,999,999.99
334-344	11	Numeric	PymtYTD.HealthBenefit2	DF750 – Fund YTD	HEALTH2 999,999,999.99
345-355	11	Numeric	PymtHist.Interest	DF715 – Fund Amount	INTEREST 999,999,999.99
356-366	11	Numeric	PymtYTD.Interest	DF750 – Fund YTD	INTEREST 999,999,999.99
367-377	11	Numeric	PymtHist.Attach1	CD503 – Deduction Amount	CHILD This field equals the sum of all deductions excluding FEDTX, TAXst, INS 1 and DUES 999,999,999.99
378-388	11	Numeric	PymtYTD.Attach1	CD513 – YTD Deduction Amount	CHILD This field equals the YTD sum of all deductions excluding FEDTX, TAXst, INS 1 and DUES 999,999,999.99
389-399	11	Numeric	PymtHist.SuppRetireBen	DF715 – Fund Amount	SUPPBEN (\$15 per year of service up to 30 years) 999,999,999.99

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Relative Position	Length	Format	Pensions Field	State Street Data Element / Field Description	Comments
400-410	11	Numeric	PymtYTD.SuppRetireBen	DF750 – Fund YTD	SUPPBEN 999,999,999.99
411-421	11	Numeric	PymtHist.SuppCOL	DF715 – Fund Amount	SUPPCOL 999,999,999.99
422-432	11	Numeric	PymtYTD.SuppCOL	DF750 – Fund YTD	SUPPCOL 999,999,999.99
433-443	11	Numeric	PymtHist.SuppAnnuity	DF715 – Fund Amount	SUPPANN 999,999,999.99
444-454	11	Numeric	PymtYTD.SuppAnnuity	DF750 – Fund YTD	SUPPANN 999,999,999.99
455-465	11	Numeric	PymtHist.TotGross	CK220 – Check Gross Amount	999,999,999.99
466-476	11	Numeric	PymtYTD.GrossPay	CK647 – Check Gross YTD	999,999,999.99
477-487	11	Numeric	PymtHist.TotNet	CK226 – Check Net Amount	999,999,999.99
488-498	11	Numeric	PymtYTD.NetPay	CK645 – Check Net YTD	999,999,999.99
499-499	1	Text	PayeeAdmin.TaxElect	CD515 – Deduction Method	0 = N (No tax) F = D (Fixed Dollar Amount) If CD515=X, and if SD510 = 0 (Payee SD510, not Installment SD510), then map C (Calculated Tax) If CD515=X, and if SD510 > 0 (Payee SD510, not Installment SD510), then map B (Calc & fixed \$ amt)
500-500	1	Text	PayeeAdmin.TaxMaritalStatus	CD551 – Marital Status	J = M Married S = S Single
501-502	2	Numeric	PayeeAdminTaxDependents	CD550 – Exemptions	
503-513	11		PayeeAdmin.StateAmt	CD552 – Exemption Amount	Not used / blank

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<b>Relative Position</b>	<b>Length</b>	<b>Format</b>	<b>Pensions Field</b>	<b>State Street Data Element / Field Description</b>	<b>Comments</b>
514-545	32	Text	PayeeAdmin.BankAddr1	BT111 – EFT Address Line 1	If nothing in EFT Address 1, use Address 1 (CK111)
546-577	32	Text	PayeeAdmin.BankAddr2	BT112 – EFT Address Line 2	If nothing in EFT Address 2, use Address 2 (CK112)
578-597	20	Text	PayeeAdmin.BankCity	BT114 – EFT Address City	If nothing in EFT City, use City (CK114)
598-599	2	Text	PayeeAdmin.BankSt	BT115 – EFT Address State	If nothing in EFT State, use State (CK115)
600-608	9	Numeric	PayeeAdmin.BankZip	BT116 – EFT Address Zip Code	If nothing in EFT Zip, use Zip (CK116)
609-640	32	Text	Person.Addr1	PA121 - Tax Address Line 1	If nothing in Tax Address 1, use Address 1 (PA111)
641-672	32	Text	Person.Addr2	PA122 - Tax Address Line 2	If nothing in Tax Address 2, use Address 2 (PA112)
673-692	20	Text	Person.City	PA124 - Tax Address – City	If nothing in Tax City, use City (PA114)
693-694	2	Text	Person.ST	PA125 - Tax Address – State	If nothing in Tax State, use State (PA115)
695-703	9	Text	Person.Zip	PA126 – Tax Address – Zip	If nothing in Tax Zip, use Zip (PA116)
704-711	8	Text	Person.Participation	PA213 – Participation Date	If nothing in Participation Date, leave blank.
712-722	11	Numeric	PymtHist.NTANNuity	DF715 – Fund Amount	NTANN 999,999,999.99
723-733	11	Numeric	PymtYTD.NTANNuity	DF750 – Fund YTD	NTANN 999,999,999.99
734-744	11	Numeric	PymtHist.NTCOLL	DF715 – Fund Amount	NTCOLL 999,999,999.99
745-755	11	Numeric	PymtYTD.NTCOLL	DF750 – Fund YTD	NTCOLL 999,999,999.99
756-766	11	Numeric	PymtHist.NTCURSV	DF715 – Fund Amount	NTCURSV 999,999,999.99

	<b>FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION</b>	<b>FCERA-PAS-REQ-509</b>
	<b>Project: PENSION ADMINISTRATION SYSTEM</b>	
	<b>Retiree Payroll</b>	

<b>Relative Position</b>	<b>Length</b>	<b>Format</b>	<b>Pensions Field</b>	<b>State Street Data Element / Field Description</b>	<b>Comments</b>
767-777	11	Numeric	PymtYTD.NTCURSV	DF750 – Fund YTD	NTCURSV 999,999,999.99
778-788	11	Numeric	PymtHist.NTSUPAN	DF715 – Fund Amount	NTSUPAN 999,999,999.99
789-799	11	Numeric	PymtYTD.NTSUPAN	DF750 – Fund YTD	NTSUPAN 999,999,999.99
800-810	11	Numeric	PymtHist.NTSUPCO	DF715 – Fund Amount	NTSUPCO 999,999,999.99
811-821	11	Numeric	PymtYTD.NTSUPCO	DF750 – Fund YTD	NTSUPCO 999,999,999.99
822-832	11	Numeric	PymtHist.NTSURVR	DF715 – Fund Amount	NTSURVR 999,999,999.99
833-843	11	Numeric	PymtYTD.NTSURVR	DF750 – Fund YTD	NTSURVR 999,999,999.99
844-851	8	Text	Date of Separation	PA211 – Retire Date	If nothing in Retire Date, leave blank.
852-861	10	Text	All Ten Positions of SSN	CK010 – PA Number	Pass the whole 10 digits
862-872	11	Numeric	PymtHist.CSRVTAO	DF715 – Fund Amount	CSRVTAO 999,999,999.99
873-883	11	Numeric	PymtYTD.CSRVTAO	DF750 – Fund YTD	CSRVTAO 999,999,999.99
884-894	11	Numeric	PymtHist.SUPATAOR	DF715 – Fund Amount	SUPATAO 999,999,999.99

	<b>FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION</b>	FCERA-PAS-REQ-509
	<b>Project: PENSION ADMINISTRATION SYSTEM</b>	
	<b>Retiree Payroll</b>	

Relative Position	Length	Format	Pensions Field	State Street Data Element / Field Description	Comments
895-905	11	Numeric	PymtYTD.SUPATAO	DF750 – Fund YTD	SUPATAO 999,999,999.99
906-916	11	Numeric	PymtHist.ANNUTAO	DF715 – Fund Amount	ANNUTAO 999,999,999.99
917-927	11	Numeric	PymtYTD.ANNUTAO	DF750 – Fund YTD	ANNUTAO 999,999,999.99
928-938	11	Numeric	PymtHist.COLATAO	DF715 – Fund Amount	COLATAO 999,999,999.99
939-949	11	Numeric	PymtYTD.COLATAO	DF750 – Fund YTD	COLATAO 999,999,999.99

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-509
	Project: PENSION ADMINISTRATION SYSTEM	
	Retiree Payroll	

## 6.3 Appendix – Layout for FCERA Excel Payroll Files to State Street Bank via NBX

### STATE STREET

## NBX File Import Spreadsheet Guidelines

Version 2.1  
May 10, 2007



*For Everything You Invest In<sup>SM</sup>*



## NBX File Import Spreadsheet Guidelines

Client spreadsheet files are frequently imported into NBX and used to create transaction files for upload to PLUS. The spreadsheet files must contain all the information needed to process Pension Adds/Changes, Special Checks, and Lump Sum payments. In addition, they must be formatted so as to insure error-free import into NBX.

To facilitate this process of creating client spreadsheets, Product Development has created template files for Pension Adds/Changes, Special Check, and Lump Sum that can be copied and modified as required.

This document describes each template file and documents the use and formatting requirements of each data element.

### Guidelines for Spreadsheets

- All information for a payee should be in one row. Use as many columns as required.
- Provide only one type of information in a column. Note that the payee account number is a 3-segment identifier. Use 3 separate columns to provide each segment.
- A column must be provided for each Required data element. Required data elements are indicated as such in the table's left column.
- Be consistent in formatting data. If you want to use dashes in social security numbers, enter all social security numbers with dashes. Data imports into NBX may fail unless formatting is consistent.
- Make sure that the spreadsheet columns can contain the maximum number of characters permitted.
- If a data element in the spreadsheet exceeds the maximum character length, NBX removes characters exceeding the maximum length.
- Generally, entering an asterisk (\*) in a spreadsheet data element will change the corresponding value in PLUS to be 'blank' (so long as the PLUS value allows blank as a value). Therefore, leaving a data element blank in your spreadsheet will not change any data in PLUS.
- If a spreadsheet file contains multiple worksheets, only the first worksheet will be loaded when the data is imported into NBX.
- On the Pension Changes spreadsheet, only enter data for fields that will change, unless the field is required.
- If the Pension Special Checks Additions spreadsheet contains new participants, you must also include a Pension Additions spreadsheet for each new participant, containing all of the new participant's data.
- On the Lump Sum Additions spreadsheet, only one payment per participant, per Account ID, is allowed.
- Your spreadsheet should be reviewed by your FLM prior to use. Contact your FLM for assistance.





## I. Pension Additions

Field	Description
<b>ACCOUNT ID 10</b> <b>(Required)</b>	First segment of the account identifier as set by State Street Bank. Between 1-10 characters/numbers.
<b>ACCOUNT ID 4</b> <b>(Required)</b>	Second segment of the account identifier as set by State Street Bank. Between 0-4 characters/numbers.
<b>ACCOUNT ID 6</b> <b>(Required)</b>	Third segment of the account identifier as set by State Street Bank. Between 0-6 characters/numbers.
<b>SOCIAL SECURITY</b> <b>(Required)</b>	Payee's social security number without spaces or dashes.
<b>LAST NAME</b> <b>(Required)</b>	Payee's last name. Max characters = 20.
<b>FIRST NAME</b> <b>(Required)</b>	Payee's first name and middle initial. Max characters = 12.
<b>PAYSOURCE #1</b> <b>(Required)</b> <b>through</b> <b>PAYSOURCE #20</b>	Payment amount from Pay Source #1 to Pay Source #20 Example: 1146.00  The dollar amount must end in a decimal point followed by two digits. Do not enter leading \$ signs or commas.  The Pension Add/Change template spreadsheet contains columns for 20 pay sources. You may add columns for as many pay sources as are set up for you in PLUS.
<b>PAYSOURCE</b> <b>BEGIN DATE</b> <b>(Required)</b>	Begin date of the pay source in the format <i>mm/dd/yyyy</i> (including forward slashes). This field is required if you specify an amount in the pay source field.
<b>PAYSOURCE</b> <b>END DATE</b>	End date of the pay source in the format <i>mm/dd/yyyy</i> (including forward slashes). Leave this field blank if there is no end date for this pay source. The value entered in PLUS will be 12/31/9999.
<b>DEDUCTION #4-</b> <b>through</b> <b>DEDUCTION #20</b>	Deduction amount from Deduction #4 to Deduction #20 Example: 1146.00  The dollar amount must end in a decimal point followed by two digits. Do not enter leading \$ signs or commas.  The Pension Add/Change template spreadsheet contains columns for 20 deductions. Deductions # 1 through Deduction #3 are Tax Deductions (Federal, State and NRA). You may add columns for as many deductions as are set up for you in PLUS.
<b>DEDUCTION</b> <b>BEGIN DATE</b> <b>(Required)</b>	Begin date of the deduction in the format <i>mm/dd/yyyy</i> (including forward slashes). This field is required if you specify an amount in the deduction field.
<b>DEDUCTION</b> <b>END DATE</b>	End date of the deduction in the format <i>mm/dd/yyyy</i> (including forward slashes). Leave this field blank if there is no end date for this deduction. The value entered in PLUS will be 12/31/9999.
<b>HOME ADDRESS LINE 1</b>	An alternate addressee, such as an executor, organization or "c/o" line. Max characters = 32



Field	Description
<b>HOME ADDRESS LINE 2</b>	Payee's apartment number, suite number, or P.O. number. Max characters = 32
<b>HOME ADDRESS STREET (Required)</b>	Payee's home street address. Max. characters = 32
<b>HOME ADDRESS CITY (Required)</b>	Payee's home address city. Max. characters = 20
<b>HOME ADDRESS STATE (Required)</b>	Payee's home address state. Enter the 2-letter code of US state. Leave blank if home address is a foreign country.
<b>HOME ADDRESS ZIP (Required)</b>	Payee's home address zip code. Enter the 5- or 9-digit zip code of the home address. Do not enter dashes or spaces. Leave blank if home address is in a foreign country.
<b>COUNTRY</b>	If the country is not U.S., enter the country name up to 20 characters. Otherwise, leave blank.
<b>COUNTRY CODE</b>	If the country is not U.S., enter the 2-character country code. Otherwise, leave blank.
<b>NRA</b>	NRA tax code – Required if country is not U.S. 0 = Non-exempt NRA 1 = Exempt NRA - Income Connected with US Trade or Business 2 = Exempt NRA - Internal Revenue Code 3 = Exempt NRA - Income not from U.S. source 4 = Exempt NRA - Tax Treaty Blank = Other
<b>SPECIAL HANDLING</b>	Required if country is not U.S. Use <b>FO</b> if a foreign country is specified in the Home Address field.
<b>CATEGORY CODE (Required)</b>	1-character IRS category of distribution code:  1 = Early distribution, no exceptions 2 = Early distribution, exceptions 3 = Disability 4 = Death 6 = Section 1035 Exchange 7 = Normal Distribution 9 = PS58 Costs F = Gift Annuity G = Direct rollover to IRA, Qualified Plan, or TSA
<b>CHECK TO (Required)</b>	1-character code indicating whether payment should be sent to the primary or secondary address.  P = primary address S = secondary address  <b>NOTE:</b> If check is being sent to participant's bank, also enter <b>B</b> in the Pay Method field and enter bank address in Secondary Address fields.
<b>1<sup>ST</sup> PAYMENT (Required)</b>	Code indicating if payment is the first payment sent to payee.  Y = yes N = no



Field	Description
<b>PAY METHOD (Required)</b>	Pay method code. A = mail check to bank with advice to payee home address B = mail check to bank – NOTE: If check sent to bank, also enter “S” in the Check To field. C = ACH Checking (payee’s checking account) D = ACH Checking (payee’s checking account) with advice to payee home address H = mail check to payee’s home address N = ACH Pre-note (Checking with advice) P = ACH Pre-note (Checking) Q = ACH Pre-note (Savings) R = ACH Pre-note (Savings with advice) S = ACH Savings (payee’s savings account) T = ACH Savings (payee’s savings account) with advice sent to payee
<b>ID TYPE (Required)</b>	Payee TIN (Tax Identification Number) Indicator. 0 = Participant, SSN 1 = Participant, non-SSN 2 = Beneficiary SSN 3 = Beneficiary, non-SSN 4 = Guardian, SSN 5 = Guardian, non-SSN
<b>FEDERAL TAX METHOD</b>	Method for computing federal tax liability. Blank = State Street will calculate using Married with 3 dependents B = Tax methods C & D are used jointly C = Tax tables used D = Tax liability is a specified dollar amount N = Payment will not be taxed
<b>MARITAL STATUS</b>	Marital status for tax purposes; required if federal tax method is “B” or “C” 0 = married 1 = single
<b># EXEMPTIONS</b>	Number of exemptions for federal tax purposes; required if federal tax method is “B” or “C”
<b>ADDITIONAL FEDERAL DOLLAR AMOUNT</b>	Additional federal tax amount to be deducted from the payment. Required if federal tax method is “B” or “D,” otherwise leave field blank. The dollar amount must end in a decimal followed by two digits. Do not enter leading \$ signs or commas. Example: 1146.00
<b>STATE TAX METHOD</b>	Method for computing state tax liability. Blank = State Street will calculate using Married with 3 dependents B = Tax methods C & D are used jointly C = Tax tables used D = Tax liability is a specified dollar amount N = Payment will not be taxed
<b>MARITAL STATUS</b>	Marital status for tax purposes; required if state tax method is “B” or “C” 0 = married 1 = single
<b># EXEMPTIONS</b>	Number of exemptions for state tax purposes; required if state tax method is “B” or “C”
<b>ADDITIONAL STATE DOLLAR AMOUNT</b>	Additional state tax amount to be deducted from the payment. Required if state tax method is “B” or “D,” otherwise leave field blank. The dollar amount must end in a decimal followed by two digits. Do not enter leading \$ signs or commas. Example: 1146.00



Field	Description
<b>ACH ROUTING NUMBER</b>	9-digit ABA bank routing number of the payee's bank. Required when Pay Method is <i>C, S, P, Q, D, T, N, R</i>
<b>ACH ACCOUNT NUMBER</b>	Payee's checking or savings account number. Max. characters = 17
<b>SECONDARY ADDRESS LINE 1</b>	Alternate secondary addressee, e.g., as an executor, organization or "c/o" line. Max. characters = 32
<b>SECONDARY ADDRESS LINE 2</b>	Alternate secondary address apartment number, suite number, or P.O. number Max. characters = 32
<b>SECONDARY ADDRESS STREET</b>	Payee's secondary street address. Max. characters = 20
<b>SECONDARY ADDRESS CITY</b>	City of secondary address.
<b>SECONDARY ADDRESS STATE</b>	2-letter code of secondary address state. Leave blank if secondary address is in a foreign country.
<b>SECONDARY ADDRESS ZIP</b>	Enter the 5- or 9-digit zip code of the secondary address. Do not enter dashes or spaces. Leave blank if secondary address is in a foreign country.
<b>SECONDARY ADDRESS COUNTRY</b>	Country of secondary address if outside the U.S. Max. characters = 20
<b>SECONDARY ADDRESS COUNTRY CODE</b>	If the country is not U.S., enter the 2 character country code. Otherwise, leave blank
<b>SPECIAL REFERENCE</b>	Max. characters = 10.
<b>UNION ID</b>	Number indicating union membership. Max. characters = 10.
<b>TERMINATION DATE</b>	Date of participant termination. Format: <i>mm/dd/yyyy</i> , including the forward slashes.
<b>PARTICIPATION DATE</b>	Date the participant entered the retirement plan. Format: <i>mm/dd/yyyy</i> , including forward slashes.
<b>EMPLOYMENT DATE</b>	Date of employment. Format: <i>mm/dd/yyyy</i> , including the forward slashes.
<b>PARTICIPANT DEATH</b>	Date of participant death. Format: <i>mm/dd/yyyy</i> , including the forward slashes.
<b>PARTICIPANT BIRTH</b>	Participant date of birth. Format: <i>mm/dd/yyyy</i> , including the forward slashes.
<b>BENEFICIARY BIRTH</b>	Beneficiary date of birth. Format: <i>mm/dd/yyyy</i> , including the forward slashes.
<b>RETIRE DATE</b>	Date of retirement. Format: <i>mm/dd/yyyy</i> , including the forward slashes.
<p align="center"><b>USER-DEFINED DATA</b></p> <p align="center"><b>The following fields are defined by, and specific to, each client.</b></p> <p align="center"><b>Before submitting values for these fields, please contact your Client Service FLM for additional information.</b></p>	
<b>USER DEFINED 2-CHARACTER #1 – #15</b>	2-character user-defined fields to provide additional information to State Street. Before using, you must coordinate the specific use of these fields with your State Street representative.
<b>USER DEFINED 5-CHARACTER #1 – #15</b>	5-character user-defined fields to provide additional information to State Street. Before using, you must coordinate the specific use of these fields with your State Street representative.
<b>USER DEFINED 10-CHARACTER #1 – #10</b>	10-character user-defined fields to provide additional information to State Street. Before using, you must coordinate the specific use of these fields with your State Street representative.



Field	Description
<b>USER DEFINED 30-CHARACTER #1 – #14</b>	30-character user-defined fields to provide additional information to State Street. Before using, you must coordinate the specific use of these fields with your State Street representative.
<b>USER DEFINED NUMERIC #1 – #30</b>	15-character numeric user-defined fields to provide additional information to State Street. Before using, you must coordinate the specific use of these fields with your State Street representative.
<b>USER DEFINED DATE #1 – #14</b>	User-defined date fields to provide additional information to State Street. Format: <i>mm/dd/yyyy</i> , including the forward slashes. Before using, you must coordinate the specific use of these fields with your State Street representative.
<p align="center"><b>SCHEDULED CHANGES: FUTURE CHANGES</b>  <b>The following features schedule automatic changes to occur.</b>  <b>Before submitting values for these fields, please contact your Client Service FLM for additional information.</b></p>	
<b>FUTURE CHANGES TO PAYSOURCE</b>	To specify a future change in payments to the payee from a pay source, enter the pay source number in the field, then complete the <b>Amount</b> , <b>Begin Date</b> and <b>End Date</b> columns. <ul style="list-style-type: none"> <li><b>NOTE:</b> To specify future changes for other pay sources, create additional <b>Paysource #</b>, <b>Amount</b>, <b>Begin Date</b> and <b>End Date</b> columns.</li> </ul>
<b>PAYSOURCE #</b>	Number of the pay source to be changed in the future.
<b>PAYSOURCE AMOUNT</b>	New payment amount from the Pay Source.
<b>PAYSOURCE BEGIN DATE</b>	Begin Date of the new payment amount in the format <i>mm/dd/yyyy</i> (including forward slashes).
<b>PAYSOURCE END DATE</b>	End Date of the new payment amount in the format <i>mm/dd/yyyy</i> (including forward slashes).
<b>FUTURE CHANGES TO DEDUCTION</b>	To specify a future change in deductions to the payee from a deduction, enter the deduction number in the field, then complete the <b>Amount</b> , <b>Begin Date</b> and <b>End Date</b> columns. <ul style="list-style-type: none"> <li><b>NOTE:</b> To specify future changes for other deductions, create additional <b>Deduction #</b>, <b>Amount</b>, <b>Begin Date</b> and <b>End Date</b> columns.</li> </ul>
<b>DEDUCTION #</b>	Number of the deduction to be changed in the future.
<b>DEDUCTION AMOUNT</b>	New deduction amount from the Deduction.
<b>DEDUCTION BEGIN DATE</b>	Begin Date of the new deduction amount in the format <i>mm/dd/yyyy</i> (including forward slashes).
<b>DEDUCTION END DATE</b>	End Date of the new deduction amount in the format <i>mm/dd/yyyy</i> (including forward slashes).
<p align="center"><b>SCHEDULED CHANGES: PAYSOURCE CONTROLS</b>  <b>The following features schedule automatic changes to occur by limiting the amount that will be paid to payee.</b>  <b>Before submitting values for these fields, please contact your Client Service FLM for additional information.</b></p>	
<b>LIMIT TYPE</b>	To limit the amount paid to the payee, enter the type of limit, then enter the pay source number, maximum to pay, and left to pay, .as required by the type of limit. Enter Type of Limit <ul style="list-style-type: none"> <li>Type 1: Limits the amount to pay from a specific paysource.</li> <li>Type 2: Limits the amount to pay from all paysources by a specific dollar amount.</li> <li>Type 3: Limits the amount to pay from all paysources by a specific number of payments.</li> </ul>
<b>MAXIMUM TO PAY</b>	Maximum amount to pay this payee from the pay source above.



Field	Description
<b>LEFT TO PAY</b>	Required if Limit Type is 1: Enter amount equal to the Maximum amount to pay when first adding the Paysource Control.

## II. Pension Changes

Field	Description
<b>ACCOUNT ID 10 (Required)</b>	First segment of the account identifier as set by State Street Bank. Between 1-10 characters/numbers.
<b>ACCOUNT ID 4 (Required)</b>	Second segment of the account identifier as set by State Street Bank. Between 0-4 characters/numbers.
<b>ACCOUNT ID 6 (Required)</b>	Third segment of the account identifier as set by State Street Bank. Between 0-6 characters/numbers.
<b>SOCIAL SECURITY (Required)</b>	Payee's social security number without spaces or dashes.
<b>LAST NAME (Required)</b>	Payee's last name. Max characters = 20.
<b>FIRST NAME (Required)</b>	Payee's first name and middle initial. Max characters = 12.
<b>PAY STATUS</b>	Payee Status Code 1 = Active – Paying 2 = Active – Suspended 3 = Active – Future 4 = Deceased – Paying Beneficiary 6 = Inactive - Final Pay 7 = Inactive - Deceased 8 = Inactive - Cancelled
<b>PAYSOURCE #1 through PAYSOURCE #20</b>	Payment amount from Pay Source #1 to Pay Source #20 Example: 1146.00 The dollar amount must end in a decimal point followed by two digits. Do not enter leading \$ signs or commas. The Pension Add/Change template spreadsheet contains columns for 20 pay sources. You may add columns for as many pay sources as are set up for you in PLUS.
<b>PAYSOURCE BEGIN DATE</b>	Begin date of the pay source in the format <i>mm/dd/yyyy</i> (including forward slashes). This field is required if you specify an amount in the pay source field.
<b>PAYSOURCE END DATE</b>	End date of the pay source in the format <i>mm/dd/yyyy</i> (including forward slashes). Leave this field blank if there is no end date for this pay source. The value entered in PLUS will be 12/31/9999.



Field	Description
<b>DEDUCTION #4-through DEDUCTION #20</b>	Deduction amount from Deduction #4 to Deduction #20 Example: 1146.00 The dollar amount must end in a decimal point followed by two digits. Do not enter leading \$ signs or commas. The Pension Add/Change template spreadsheet contains columns for 20 deductions. Deductions # 1 through Deduction #3 are Tax Deductions (Federal, State and NRA). You may add columns for as many deductions as are set up for you in PLUS.
<b>DEDUCTION BEGIN DATE</b>	Begin date of the deduction in the format <i>mm/dd/yyyy</i> (including forward slashes). This field is required if you specify an amount in the deduction field.
<b>DEDUCTION END DATE</b>	End date of the deduction in the format <i>mm/dd/yyyy</i> (including forward slashes). Leave this field blank if there is no end date for this deduction. The value entered in PLUS will be 12/31/9999.
<b>HOME ADDRESS LINE 1</b>	An alternate addressee, such as an executor, organization or “c/o” line. Max characters = 32
<b>HOME ADDRESS LINE 2</b>	Payee’s apartment number, suite number, or P.O. number. Max characters = 32
<b>HOME ADDRESS STREET</b>	Payee’s home street address. Max. characters = 32
<b>HOME ADDRESS CITY</b>	Payee’s home address city. Max. characters = 20
<b>HOME ADDRESS STATE</b>	Payee’s home address state. Enter the 2-letter code of US state. Leave blank if home address is a foreign country.
<b>HOME ADDRESS ZIP</b>	Payee’s home address zip code. Enter the 5- or 9-digit zip code of the home address. Do not enter dashes or spaces. Leave blank if home address is in a foreign country.
<b>COUNTRY</b>	If the country is not U.S., enter the country name up to 20 characters. Otherwise, leave blank.
<b>COUNTRY CODE</b>	If the country is not U.S., enter the 2-character country code. Otherwise, leave blank.
<b>NRA</b>	NRA tax code – Required if country is not U.S. 0 = Non-exempt NRA 1 = Exempt NRA - Income Connected with US Trade or Business 2 = Exempt NRA - Internal Revenue Code 3 = Exempt NRA - Income not from U.S. source 4 = Exempt NRA - Tax Treaty Blank = Other
<b>SPECIAL HANDLING</b>	Required if country is not U.S. Use <b>FO</b> if a foreign country is specified in the Home Address field.





Field	Description
<b>CATEGORY CODE</b>	1-character IRS category of distribution code:  1 = Early distribution, no exceptions 2 = Early distribution, exceptions 3 = Disability 4 = Death 6 = Section 1035 Exchange 7 = Normal Distribution 9 = PS58 Costs F = Gift Annuity G = Direct rollover to IRA, Qualified Plan, or TSA
<b>CHECK TO</b>	1-character code indicating whether payment should be sent to the primary or secondary address.  P = primary address S = secondary address  <b>NOTE:</b> If check is being sent to participant's bank, also enter <b>B</b> in the Pay Method field and enter bank address in Secondary Address fields.
<b>PAY METHOD</b>	Pay method code. A = mail check to bank with advice to payee home address B = mail check to bank – NOTE: If check sent to bank, also enter “S” in the Check To field. C = ACH Checking (payee’s checking account) D = ACH Checking (payee’s checking account) with advice to payee home address H = mail check to payee’s home address N = ACH Pre-note (Checking with advice) P = ACH Pre-note (Checking) Q = ACH Pre-note (Savings) R = ACH Pre-note (Savings with advice) S = ACH Savings (payee’s savings account) T = ACH Savings (payee’s savings account) with advice sent to payee
<b>ID TYPE</b>	Payee TIN (Tax Identification Number) Indicator. 0 = Participant, SSN 1 = Participant, non-SSN 2 = Beneficiary SSN 3 = Beneficiary, non-SSN 4 = Guardian, SSN 5 = Guardian, non-SSN
<b>FEDERAL TAX METHOD</b>	Method for computing federal tax liability.  Blank = State Street will calculate using Married with 3 dependents B = Tax methods C & D are used jointly C = Tax tables used D = Tax liability is a specified dollar amount N = Payment will not be taxed
<b>MARITAL STATUS</b>	Marital status for tax purposes; required if federal tax method is “B” or “C”  0 = married 1 = single
<b># EXEMPTIONS</b>	Number of exemptions for federal tax purposes; required if federal tax method is “B” or “C”
<b>ADDITIONAL FEDERAL DOLLAR AMOUNT</b>	Additional federal tax amount to be deducted from the payment. Required if federal tax method is “B” or “D,” otherwise leave field blank.  The dollar amount must end in a decimal followed by two digits. Do not enter leading \$ signs or commas. Example: 1146.00





Field	Description
<b>STATE TAX METHOD</b>	Method for computing state tax liability.  Blank = State Street will calculate using Married with 3 dependents B = Tax methods C & D are used jointly C = Tax tables used D = Tax liability is a specified dollar amount N = Payment will not be taxed
<b>MARITAL STATUS</b>	Marital status for tax purposes; required if state tax method is “B” or “C”  0 = married 1 = single
<b># EXEMPTIONS</b>	Number of exemptions for state tax purposes; required if state tax method is “B” or “C”
<b>ADDITIONAL STATE DOLLAR AMOUNT</b>	Additional state tax amount to be deducted from the payment. Required if state tax method is “B” or “D,” otherwise leave field blank.  The dollar amount must end in a decimal followed by two digits. Do not enter leading \$ signs or commas. Example: 1146.00
<b>ACH ROUTING NUMBER</b>	9-digit ABA bank routing number of the payee’s bank.  Required when Pay Method is C, S, P, Q, D, T, N, R
<b>ACH ACCOUNT NUMBER</b>	Payee’s checking or savings account number. Max. characters = 17
<b>SECONDARY ADDRESS LINE 1</b>	Alternate secondary addressee, e.g., as an executor, organization or “c/o” line. Max. characters = 32
<b>SECONDARY ADDRESS LINE 2</b>	Alternate secondary address apartment number, suite number, or P.O. number Max. characters = 32
<b>SECONDARY ADDRESS STREET</b>	Payee’s secondary street address. Max. characters = 20
<b>SECONDARY ADDRESS CITY</b>	City of secondary address.
<b>SECONDARY ADDRESS STATE</b>	2-letter code of secondary address state. Leave blank if secondary address is in a foreign country.
<b>SECONDARY ADDRESS ZIP</b>	Enter the 5- or 9-digit zip code of the secondary address. Do not enter dashes or spaces. Leave blank if secondary address is in a foreign country.
<b>SECONDARY ADDRESS COUNTRY</b>	Country of secondary address if outside the U.S. Max. characters = 20
<b>SECONDARY ADDRESS COUNTRY CODE</b>	If the country is not U.S., enter the 2 character country code. Otherwise, leave blank
<b>SPECIAL REFERENCE</b>	Max. characters = 10.
<b>UNION ID</b>	Number indicating union membership. Max. characters = 10.
<b>TERMINATION DATE</b>	Date of participant termination. Format: mm/dd/yyyy, including the forward slashes.
<b>PARTICIPATION DATE</b>	Date the participant entered the retirement plan. Format: mm/dd/yyyy, including forward slashes.
<b>EMPLOYMENT DATE</b>	Date of employment. Format: mm/dd/yyyy, including the forward slashes.
<b>PARTICIPANT DEATH</b>	Date of participant death. Format: mm/dd/yyyy, including the forward slashes.
<b>PARTICIPANT BIRTH</b>	Participant date of birth. Format: mm/dd/yyyy, including the forward slashes.
<b>BENEFICIARY BIRTH</b>	Beneficiary date of birth. Format: mm/dd/yyyy, including the forward slashes.



Field	Description
RETIRE DATE	Date of retirement. Format: <i>mm/dd/yyyy</i> , including the forward slashes.
<b>USER-DEFINED DATA</b> <b>The following fields are defined by, and specific to, each client.</b> <b>Before submitting values for these fields, please contact your Client Service FLM for additional information.</b>	
USER DEFINED 2-CHARACTER #1 – #15	2-character user-defined fields to provide additional information to State Street. Before using, you must coordinate the specific use of these fields with your State Street representative.
USER DEFINED 5-CHARACTER #1 – #15	5-character user-defined fields to provide additional information to State Street. Before using, you must coordinate the specific use of these fields with your State Street representative.
USER DEFINED 10-CHARACTER #1 – #10	10-character user-defined fields to provide additional information to State Street. Before using, you must coordinate the specific use of these fields with your State Street representative.
USER DEFINED 30-CHARACTER #1 – #14	30-character user-defined fields to provide additional information to State Street. Before using, you must coordinate the specific use of these fields with your State Street representative.
USER DEFINED NUMERIC #1 – #30	15-character numeric user-defined fields to provide additional information to State Street. Before using, you must coordinate the specific use of these fields with your State Street representative.
USER DEFINED DATE #1 – #14	User-defined date fields to provide additional information to State Street. Format: <i>mm/dd/yyyy</i> , including the forward slashes. Before using, you must coordinate the specific use of these fields with your State Street representative.
<b>SCHEDULED CHANGES: FUTURE CHANGES</b> <b>The following features schedule automatic changes to occur.</b> <b>Before submitting values for these fields, please contact your Client Service FLM for additional information.</b>	
FUTURE CHANGES TO PAYSOURCE	To specify a future change in payments to the payee from a pay source, enter the pay source number in the field, then complete the <b>Amount</b> , <b>Begin Date</b> and <b>End Date</b> columns. <ul style="list-style-type: none"> <li><b>NOTE:</b> To specify future changes for other pay sources, create additional <b>Paysource #</b>, <b>Amount</b>, <b>Begin Date</b> and <b>End Date</b> columns.</li> </ul>
PAYSOURCE #	Number of the pay source to be changed in the future.
PAYSOURCE AMOUNT	New payment amount from the Pay Source.
PAYSOURCE BEGIN DATE	Begin Date of the new payment amount in the format <i>mm/dd/yyyy</i> (including forward slashes)..
PAYSOURCE END DATE	End Date of the new payment amount in the format <i>mm/dd/yyyy</i> (including forward slashes)...
FUTURE CHANGES TO DEDUCTION	To specify a future change in deductions to the payee from a deduction, enter the deduction number in the field, then complete the <b>Amount</b> , <b>Begin Date</b> and <b>End Date</b> columns. <ul style="list-style-type: none"> <li><b>NOTE:</b> To specify future changes for other deductions, create additional <b>Deduction #</b>, <b>Amount</b>, <b>Begin Date</b> and <b>End Date</b> columns.</li> </ul>
DEDUCTION #	Number of the deduction to be changed in the future.
DEDUCTION AMOUNT	New deduction amount from the Deduction.
DEDUCTION BEGIN DATE	Begin Date of the new deduction amount in the format <i>mm/dd/yyyy</i> (including forward slashes).



Field	Description
<b>DEDUCTION END DATE</b>	End Date of the new deduction amount in the format <i>mm/dd/yyyy</i> (including forward slashes).
<b>SCHEDULED CHANGES: PAYSOURCE CONTROLS</b> <b>The following features schedule automatic changes to occur by limiting the amount that will be paid to payee.</b> <b>Before submitting values for these fields, please contact your Client Service FLM for additional information.</b>	
<b>LIMIT TYPE</b>	To limit the amount paid to the payee, enter the type of limit, then enter the pay source number, maximum to pay, and left to pay, as required by the type of limit. Enter Type of Limit <ul style="list-style-type: none"><li>• Type 1: Limits the amount to pay from a specific paysource.</li><li>• Type 2: Limits the amount to pay from all paysources by a specific dollar amount.</li><li>• Type 3: Limits the amount to pay from all paysources by a specific number of payments.</li></ul>
<b>MAXIMUM TO PAY</b>	Maximum amount to pay this payee from the pay source above.
<b>LEFT TO PAY</b>	Required if Limit Type is 1: Enter amount equal to the Maximum amount to pay when first adding the Paysource Control.



### III. Pension Special Checks Additions

Field	Description
<b>ACCOUNT ID 10</b> <b>(Required)</b>	First segment of the account identifier as set by State Street. Between 1-10 characters/numbers.
<b>ACCOUNT ID 4</b> <b>(Required)</b>	Second segment of the account identifier as set by State Street. Between 0-4 characters/numbers. Leave this field blank if the segment is not used.
<b>ACCOUNT ID 6</b> <b>(Required)</b>	Third segment of the account identifier as set by State Street. Between 1-6 characters/numbers.
<b>SOCIAL SECURITY</b> <b>(Required)</b>	Payee's social security number without spaces or dashes.
<b>LAST NAME</b> <b>(Required)</b>	Payee's last name. Max characters = 20.
<b>FIRST NAME</b> <b>(Required)</b>	Payee's first name and middle initial. Max characters = 12.
<b>RETRO # MONTHS</b> <b>(Required)</b>	Number of monthly checks to pay retroactively.
<b>CHECK DATE</b> <b>(Required)</b>	Check issue date in <i>mm/dd/yyyy</i> format (include the forward slashes).
<b>PAYSOURCE #1</b> <b>(Required) –</b> <b>PAYSOURCE #20</b>	Payment amount from Pay Source #1 to Pay Source #20 Example: 1146.00  The dollar amount must end in a decimal point followed by two digits. Do not enter leading \$ signs or commas.  The Pension Special Check template spreadsheet contains columns for 20 pay sources. You may add columns for as many pay sources as are set up for you in PLUS.
<b>DEDUCTION #4-</b> <b>through</b> <b>DEDUCTION #20</b>	Deduction amount from Deduction #4 to Deduction #20 Example: 1146.00  The dollar amount must end in a decimal point followed by two digits. Do not enter leading \$ signs or commas.  The Pension Special Check template spreadsheet contains columns for 20 deductions. Deductions # 1 through Deduction #3 are Tax Deductions (Federal, State and NRA). You may add columns for as many deductions as are set up for you in PLUS.



Field	Description
<b>CATEGORY CODE (Required)</b>	1-character IRS category of distribution code:  1 = Early distribution, no exceptions 2 = Early distribution, exceptions 3 = Disability 4 = Death 6 = Section 1035 Exchange 7 = Normal Distribution 9 = PS58 Costs F = Gift Annuity G = Direct rollover to IRA, Qualified Plan, or TSA
<b>1<sup>ST</sup> PAYMENT (Required)</b>	Code indicating if payment is the first check (including regular payments) sent to payee.  Y = yes N = no
<b>PAY METHOD (Required)</b>	Pay method code.  A = send check to bank with advice to payee home address B = send check to bank C = ACH Checking (payee's check account) D = ACH Checking (payee's check account) with advice to payee home address H = mail check to payee's home address N = ACH Pre-note (Checking with advice) P = ACH Pre-note (Checking) Q = ACH Pre-note (Savings) R = ACH Pre-note (Savings with advice) S = ACH Savings (payee's savings account) T = ACH Savings (payee's savings account) with advice sent to payee
<b>FEDERAL TAX METHOD</b>	Method for computing federal tax liability.  Blank = State Street will calculate using Married with 3 dependents B = Tax methods C & D are used jointly C = Tax tables used D = Tax liability is a specified dollar amount N = Payment will not be taxed
<b>MARITAL STATUS</b>	Marital status for tax purposes; required if federal tax method is "B" or "C"  0 = married 1 = single
<b># EXEMPTIONS</b>	Number of exemptions for federal tax purposes; required if federal tax method is "B" or "C"
<b>ADDITIONAL FEDERAL DOLLAR AMOUNT</b>	Additional federal tax amount to be deducted from the payment. Required if federal tax method is "B" or "D," otherwise leave field blank.  The dollar amount must end in a decimal followed by two digits. Do not enter leading \$ signs or commas. Example: 1146.00
<b>STATE TAX METHOD</b>	Method for computing state tax liability.  Blank = State Street will calculate using Married with 3 dependents B = Tax methods C & D are used jointly C = Tax tables used D = Tax liability is a specified dollar amount N = Payment will not be taxed
<b>MARITAL STATUS</b>	Marital status for tax purposes; required if state tax method is "B" or "C"  0 = married 1 = single



Field	Description
# EXEMPTIONS	Number of exemptions for state tax purposes; required if state tax method is “B” or “C”
ADDITIONAL STATE DOLLAR AMOUNT	Additional state tax amount to be deducted from the payment. Required if state tax method is “B” or “D,” otherwise leave field blank. The dollar amount must end in a decimal followed by two digits. Do not enter leading \$ signs or commas. Example: 1146.00

#### IV. Lump Sum Additions

Field	Description
ACCT ID (10) (Required)	First segment of the account identifier as set by State Street Bank. Between 1-10 characters/numbers.
ACCT ID (4) (Required)	Second segment of the account identifier as set by State Street Bank. Between 0-4 characters/numbers.
ACCT ID (6) (Required)	Third segment of the account identifier as set by State Street Bank. Between 0-6 characters/numbers.
SSN (Required)	Payee’s social security number without spaces or dashes.
LAST NAME (Required)	Payee’s last name. Max characters = 20.
FIRST, MI (Required)	Payee’s first name and middle initial. Max characters = 12.
CHECK ADDRESS LINE 1 (Required if Trustee to Trustee Transfer)	For the check address, an alternate addressee, such as an executor, organization or “c/o” line. If payment is direct rollover, enter Financial Institution name. Max characters = 32
CHECK ADDRESS LINE 2 (Required if Trustee to Trustee Transfer)	For the check address, Payee’s apartment number, suite number, or P.O. number. If payment is direct rollover, enter Payee’s account number. Max characters = 32
CHECK STREET (Required)	Check street address. Max. characters = 32
CHECK CITY (Required)	Check city address. Max. characters = 20
CHECK STATE (Required)	2-letter state code of the check address. Leave blank if check address is in a foreign country.
CHECK ZIP	5 – 9 digit zip code of the check address.



Field	Description
<b>(Required)</b>	Do not enter dashes or spaces. Leave blank if home address is in a foreign country.
<b>CHECK COUNTRY</b>	If the Check Address country is not U.S., enter the country name up to 20 characters. Otherwise, leave blank.
<b>CHECK COUNTRY CODE</b>	If the Check Address country is not U.S., enter the 2-character country code. Otherwise, leave blank.
<b>CHECK SPECIAL HANDLING</b>	Required if Check Address country is not U.S. Use <b>FO</b> if a foreign country is specified in the Check Address field.
<b>TAX ADDRESS LINE 1</b>	An alternate addressee, such as an executor, organization or “c/o” line. Max. characters = 32
<b>TAX ADDRESS LINE 2</b>	Payee’s apartment number, suite number, or P.O. number. Max characters = 32
<b>TAX STREET (Required)</b>	Payee’s tax street address. Max. characters =32
<b>TAX CITY (Required)</b>	Payee’s tax city address. Max. characters =20
<b>TAX STATE (Required)</b>	2-letter state code of payee’s tax address. Leave blank if secondary address is in a foreign country.
<b>TAX ZIP (Required)</b>	5- or 9-digit zip code of the payee’s tax address. Do not enter dashes or space. Do not enter dashes or spaces. Leave blank if secondary address is in a foreign country
<b>TAX COUNTRY</b>	If the payee’s Tax Address country is not U.S., enter the country name up to 20 characters. Otherwise, leave blank.
<b>TAX COUNTRY CODE</b>	If the payee’s Tax Address country is not U.S., enter the 2-character country code. Otherwise, leave blank.
<b>TAX SPECIAL HANDLING</b>	Required if Tax Address country is not U.S. Use <b>FO</b> if a foreign country is specified in the Tax Address field.
<b>NRA CODE</b>	NRA tax code – Required if country is not U.S. 0 = Non-exempt NRA 1 = Exempt NRA - Income Connected with US Trade or Business 2 = Exempt NRA - Internal Revenue Code 3 = Exempt NRA - Income not from U.S. source 4 = Exempt NRA - Tax Treaty Blank = Other
<b>PAY METHOD (Required)</b>	1-character code for the Lump Sum pay method. A* = send check to bank with advice to payee home address B* = send check to bank C = ACH Checking (payee’s check account)



Field	Description
	<p>D = ACH Checking (payee's check account) with advice to payee home address  H = mail check to payee's home address  S = ACH Savings  T = ACH Savings with advice  * Pay Method must be "A" or "B" if payment is Trustee to Trustee Transfer (Rollover).</p>
<b>ACH BANK #</b>	9-digit ABA bank routing number of the payee's bank. Not available for Trustee to Trustee Transfer (Rollover).
<b>ACH ACCT #</b>	<p>Payee's checking or savings account number. Not available for Trustee to Trustee Transfer (Rollover).  Max. characters = 17</p>
<b>PAYSOURCE #1 through PAYSOURCE #8 (At least one Payscale Required)</b>	<p>Payment amount from Pay Source #1 to Pay Source #8.  The dollar amount must end in a decimal point followed by two digits. Do not enter leading \$signs or commas. Example: 1234.00</p>
<b>FED TAX METHOD (Required)</b>	<p>Federal tax method.  D = Withhold a fixed dollar amount  N = Do not withhold  T = Withhold 10%  U = Withhold 20% PLUS additional amount  X = Withhold 20%</p>
<b>FED TAX AMOUNT</b>	<p>Federal Tax amount to be deducted from the payment. Required if federal tax method is "D," otherwise leave blank.  The dollar amount must end in a decimal point followed by two digits. Do not enter leading \$signs or commas. Example: 1234.00</p>
<b>STATE TAX METHOD (Required)</b>	<p>State tax method.  C = Tax tables used to compute tax liability  D = Withhold a fixed dollar amount  N = Withhold no tax  P = Compute tax liability using specified percent  T = Withhold percent specified by state code</p>
<b>STATE TAX AMOUNT</b>	<p>State Tax amount to be deducted from the payment. Required if state tax method is "D," otherwise leave blank.  The dollar amount must end in a decimal point followed by two digits. Do not enter leading \$signs or commas. Example: 1234.00</p>
<b>STATE CODE (Required)</b>	<p>State code for tax purposes.  For US states use standard 2-character code.  AA =Military APO with APO codes 34000 - 34199  AE =Military APO with APO codes 09000 - 09899  AP =Military APO with APO codes 96200 - 96600  TT =Military APO with APO codes 96900 - 96999  AS =American Samoa  AZ =Canal Zone  GU =Guam</p>





Field	Description
	VI = Virgin Islands
ADVICE DESC 1	Text to print on line 1 of the check's advice section. Not available for Trustee to Trustee Transfer (Rollover).
ADVICE DESC 2	Text to print on line 2 of the check's advice section. Not available for Trustee to Trustee Transfer (Rollover).
ADVICE DESC 3	Text to print on line 3 of the check's advice section. Not available for Trustee to Trustee Transfer (Rollover).
TOTAL DISTRIBUTION (Required)	Total distribution amount. The dollar amount must end in a decimal point followed by two digits. Do not enter leading \$ signs or commas. Example: 1146.00
CHECK DATE (Required)	Date printed on the check in the format <i>mm/dd/yyyy</i> (including forward slashes).
BENEFIT TYPE (Required)	Benefit type.  A = Installment B = Minimum Distribution C = Excess Distribution D = Participant's death E = Non-qualified plan F = Exempt beneficiary G = Exempt withdrawal (1) H = Exempt withdrawal (2) I = Insurance payment L = Total disability payment M = Miscellaneous N = Loan O = User-defined payment code Q = QDRO R = Retirement T = Participant's termination W = Withdrawal payment
DISTRIBUTION TYPE (Required)	P = Partial Distribution T = Total Distribution
TAX STATUS (Required)	Use "R" if State Street will be responsible for the year-end tax reporting. If State Street is not responsible for year-end tax reporting, or for non-reportable events (e.g., loan distributions), use "N."  R = Release N = Not Required
TAX FORM TYPE	L = Total Distribution Q = Total Distribution – Qualifies for 5/10 year averaging W = Partial Distribution – Withdrawal
EVENT DATE	Date of Valuation in the format <i>mm/dd/yyyy</i> .




Field	Description
<b>PARTICIPATION DATE</b>	Date the payee began participation in the plan in the format <i>mm/dd/yyyy</i> . This value is used by State Street to calculate capital gains.
<b>EMPLOYEE CONTRIBUTIONS</b>	Dollar amount of Employee Contributions for tax purposes. The dollar amount must end in a decimal point followed by two digits. Do not enter leading \$ or commas. Example: <i>1146.00</i>
<b>NET APPRECIATION</b>	Dollar amount of Net Unrealized Appreciation for tax purposes. The dollar amount must end in a decimal point followed by two digits. Do not enter leading \$ or commas. Example: <i>1146.00</i>
<b>TAXABLE AMOUNT (Required)</b>	Dollar amount of Taxable Amount for tax purposes. The dollar amount must end in a decimal point followed by two digits. Do not enter leading \$ or commas. Example: <i>1146.00</i>
<b>CAPITAL GAINS</b>	Dollar amount of Capital Gains for tax purposes. The dollar amount must end in a decimal point followed by two digits. Do not enter leading \$ or commas. Example: <i>1146.00</i>
<b>ORDINARY INCOME</b>	Dollar Amount of Ordinary Income for tax purposes. The dollar amount must end in a decimal point followed by two digits. Do not enter leading \$ or commas. Example: <i>1146.00</i> .
<b>CATEGORY OF DISTRIBUTION (Required)</b>	IRS Distribution Code.
<b>PERCENT OF DISTRIBUTION</b>	Percent (000 to 100) of total balance in plan.
<b>TAX YEAR</b>	Enter the year of the distribution for tax purposes in the format <i>YYYY</i> . Example: <i>2005</i>

Before submitting your spreadsheet to Client Services, please make sure that:

1. The column headings on your spreadsheet are in same order as required in the Baseline spreadsheet,
2. There are no macros or calculation formulas in any data cell on the spreadsheet,
3. All Required data elements are provided for each participant or payment record,
4. All data elements are provided in proper and consistent format,
5. There is only one worksheet within each submitted spreadsheet file (.XLS), and
6. There is no password protection enabled on the spreadsheet.



Please note that you **MUST** submit the spreadsheet via NBX File Exchange or overnight mail. Any other method of submission will not be accepted. (If you do not currently have NBX, please contact your FLM for assistance to install NBX in your computing environment.)

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-510
	Project: PENSION ADMINISTRATION SYSTEM	
	Year-End Processing	

## 4.4.510 Year-End Processing

### 1 Overview

The primary objective of the Year-End Processing process is to review special cases, validate all distributions/codes, and then have the Bank produce year-end 1099R forms and tax filings. FCERA's fiscal year is July 1 to June 30. FCERA's calendar year is January 1 to December 31.

NOTE: This describes the year-end activities for which FCERA is accountable. However, State Street Bank (the Bank) performs the actual processing and execution for many of the year-end activities.

### 2 Roles

PAS Role Name	Definition
Accounting	Internal FCERA Accounting team
Retirement Coordinator	FCERA staff responsible for serving members
Bank	State Street Bank
Payroll Unit	A work group within FCERA that provide preparation and validation of retiree payroll information that is given to the Bank

### 3 Overview of Current Process

#### 3.1 Process Scope

The calendar year-end processing begins in September and continues through mid-December. During this time FCERA is in communication with the Bank to ensure all financial data is accurate for tax documents that the Bank will produce in January.

The calendar year-end processing ends when the data has been verified such that all reports can be generated and mailed, and that all tax documents have been filed with the appropriate agencies (IRS or State Taxing Authority).

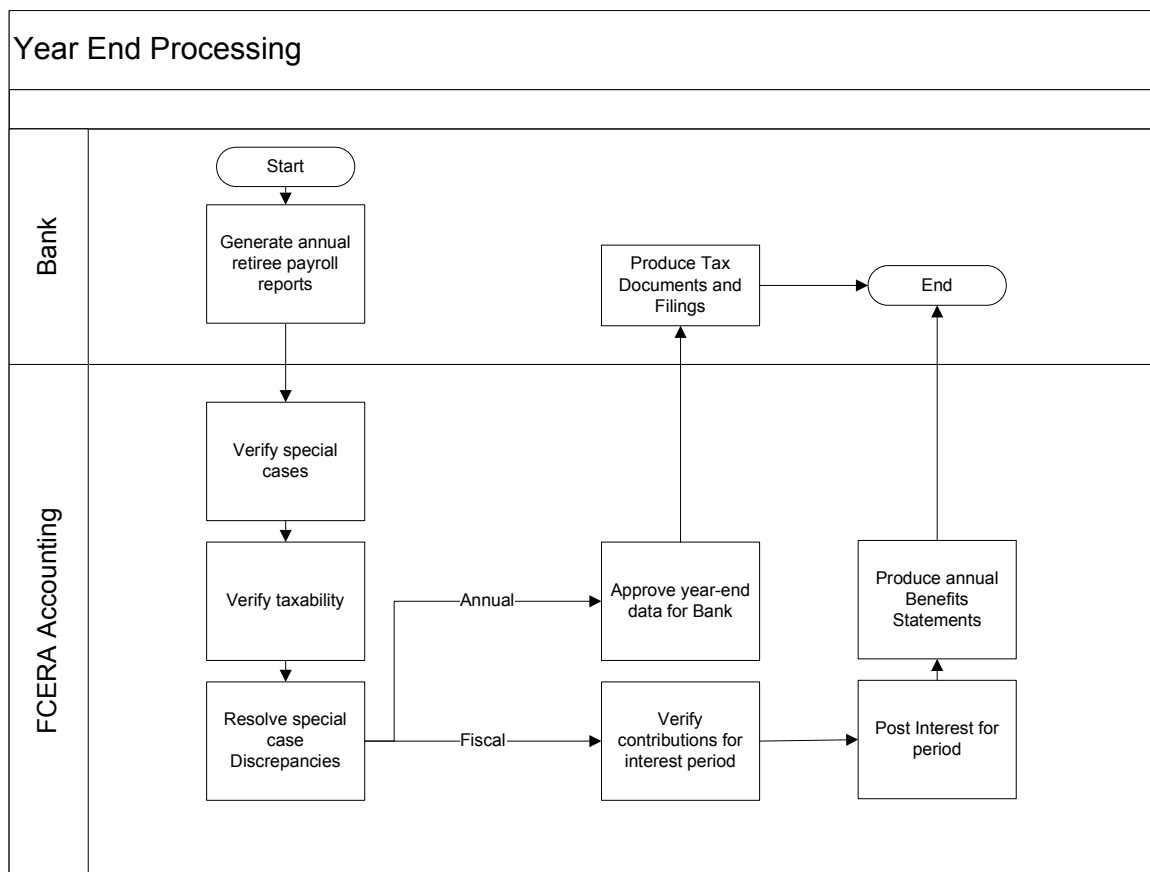
The following processes are discussed in separate documents:

- Actuarial extract
- Interest posting
- Death Audit (FCERA is using Small World Solutions for this report)
- Tax Reporting Forms DE 166, DE 7, 945

- Forms 1099R (mailing deadline to members is January 31)
- Benefits Statements

Federal and State **tax tables** are updated annually by the Bank as part of their payroll service; they are not maintained in-house at FCERA.


### 3.2 Process Flow



### 3.3 Process Steps

#### 3.3.1 Calendar Year-End Processing

The calendar year-end processing at FCERA begins in September and is complete by mid-December.

	<b>FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION</b>	<b>FCERA-PAS-REQ-510</b>
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	<b>Year-End Processing</b>	

1. FCERA communicates with the Bank to review
  - a. New Retirees
  - b. Service Connected Disability
  - c. Conversions (Service retirements converted to either Non-Service Connected Disability or Service Connected Disability)
  - d. Distribution Code changes. 1099R Distribution Codes are established by the IRS and vary by the type of retirement.
  - e. Taxability corrections and changes (for example, previous to January 1, 2003 FCERA did not track taxability. After this date, FCERA tracks taxability and the taxable amount is reported on the 1099R. Payees whose tenure straddles this date can experience 1099R corrections related to taxability.)
  - f. Repayments made by personal check
2. FCERA gives the Bank the go-ahead in mid-December to
  - a. Produce and file 1099R forms per the Bank's production schedule
  - b. Produce and file IRS 945 forms per the Bank's production schedule
  - c. Produce and file DE 7 forms per the Bank's production schedule
  - d. Produce and file DE 166 forms per the Bank's production schedule
3. FCERA posts interest to Active, Deferred, Suspense, and Inactive Member accounts in PAS, effective June 30 and December 31. (see Interest Posting document for more information)
4. FCERA produces and distributes Benefits Statements (see process document called Benefits Statements for further details)


### **3.3.2 Fiscal Year-End Processing**

The fiscal year-end processing begins after June 30 and completes after the annual financial audit is completed and Audit Opinion is issued by external auditors. This usually occurs at the end of November each year.

1. FCERA ensures all known contributions are posted before running the interest calculation process for the June 30 interest posting.
2. FCERA produces actuarial extract file every August.
3. On FCERA's behalf, the Bank files any fiscal-year tax filings that are due.

### **3.4 Areas of Concern**

FCERA's data exchange with the Bank is via Excel file, an inherently manual and error-prone mechanism. FCERA expects the interface from the PAS to the Bank will eliminate most of the need for Excel files being exchanged with the Bank to support year-end processing. There will be exceptions, in which case Excel and other off-line communication with the Bank will be used to resolve the year-end issues.

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FCERA relies entirely on the Bank to be the system-of-record for retiree payroll.

### 3.5 Key Business Rules

#### 3.5.1 Currently Used Forms and Reports

The following forms are produced in connection with year-end processing:

Form	Produced by	Purpose
Forms 1099R	Bank	Tax Filing with member and IRS
Forms DE 166	Bank	Tax Filing with the State of California
Forms DE 7	Bank	Tax Filing with the State of California
Forms IRS 945	Bank	Tax Filing with IRS

In addition, FCERA produces the annual Benefits Statement sent to the active and deferred members.

### 3.6 Data Points


The current data integration points for Year End processing are comprised of a collection of Excel Spreadsheets, created manually, that contain instructions to the Bank for tax-related changes and other corrections/changes.

## 4 Analysis and Recommendation

The Annual Year-End Processing at FCERA is more cumbersome than it needs to be. FCERA relies on the Bank to be the originator of payroll transactions based on incremental instructions sent to the Bank in Excel files. At any given time, FCERA does not have a single-source picture in-house of the annual retiree payroll.

A more pro-active approach to payroll processing, described in the Retiree Payroll Processing and 1099R Processing documents, will move responsibility to the PAS for originating all the payroll instructions to the Bank. This shift provides an ongoing, single-source picture of monthly payments, distributions codes, and other data associated with the payments. Issues can be identified earlier and corrected at the source.

This change does not necessarily eliminate any of the steps discussed above for year-end processing, nor does it change the general process. It does, however, provide more assurance that at the end of the year the data will be what FCERA expects, thereby decreasing the amount of time required for year-end validations. Further, the PAS becomes the single-source system of record for annual payroll data.


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	<b>Year-End Processing</b>	

## 5 Requirements

The table below listed the formal requirements regarding year end processing at FCERA.

<b>ReqID</b>	<b>Process</b>	<b>Requirement detail</b>	<b>Priority</b>
510.001	Year End Processing	FCERA requires a PAS to fulfill the objectives and scope of Year End Processing	1
510.002	Year End Processing	<p>The PAS will provide the tools and data necessary to verify that the Distribution Codes used on transactions throughout the calendar year are correct, with special attention placed on</p> <ul style="list-style-type: none"> <li>• New Retirees</li> <li>• Service Connected Disabilities</li> <li>• Conversions (Service retirements converted to either Non-Service Connected Disability or Service Connected Disability)</li> <li>• Distribution Code changes. 1099R Distribution Codes are established by the IRS and vary by the type of retirement.</li> <li>• Taxability corrections and changes</li> </ul>	2
510.003	Year End Processing	The PAS will provide the capability to assist in verifying that the payroll data at the Bank reconciles to the data in the PAS.	2
510.004	Year End Processing	The PAS will provide the capability to verify proper taxability for accounts that span January 1, 2003	2
510.005	Year End Processing	The PAS will provide the capability to make corrections to payroll data in support of year-end processing.	2
510.006	Year End Processing	The PAS will provide the capability to create an interface file to the Bank containing corrections with regards to year-end processing	2
510.007	Year End Processing	The PAS will provide the capability to validate that all known contributions were posted prior to posting interest payments for June 30 and Dec 31.	2
510.008	Year End Processing	The PAS will provide the capability to calculate Year to Date contributions and interest by member.	2
510.009	Year End Processing	The PAS will provide the tools and data necessary to affirm the correctness of information for annual Benefits Statements to members.	2
510.010	Year End Processing	The PAS will provide the capability to report Reserve movements sorted by status	2
510.011	Year End Processing	The PAS will provide the capability to report account movements and status.	2
510.012	Year End Processing	The PAS will provided the capability to store historical, future, and current account number in accordance with the general ledger chart of accounts.	2
510.013	Year End Processing	The PAS will provide the capability to create reports whose content correlates to FCERA's chart of accounts and NAV GL.	2



	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-511
	Project: PENSION ADMINISTRATION SYSTEM	
	Tax Reporting	

## 4.4.511 Tax Reporting

### 1 Overview

The primary objective of the Tax Reporting process is to file the required tax documents with State and Federal entities.

Tax Reporting refers to the detailed quarterly reporting of state taxes withheld (DE-166) and the annual summary reporting of state taxes withheld (DE-7) and federal taxes withheld (IRS 945 plus schedule M).

This process specifically excludes the processing and reporting of 1099R data, although the same source data must be used to ensure that the amounts of all the 1099R's reported exactly matches the amount reported on the 945 annual summary report.


NOTE: This describes tax reporting for which FCERA is accountable. However, the Bank performs the actual processing and filing of the tax reports. FCERA does not anticipate bringing tax reporting/filing in-house.

### 2 Roles

PAS Role Name	Definition
Accounting	Internal FCERA Accounting team
Retirement Coordinator	FCERA staff responsible for serving members
Bank	State Street Bank
Payroll Unit	A work group within FCERA that provide preparation and validation of retiree payroll information that is given to the Bank

### 3 Terms & Definitions

Term	Definition
DE-166	<b>Magnetic Media – Submittal Sheet: Quarterly Wage and Withholding Information</b> This report (single page) accompanies the magnetic media on which is reported detailed data (per member) on quarterly state taxes withheld.
DE-7	<b>Annual Reconciliation Statement:</b> Summary of state taxes withheld during the year. Must match the total of taxes reported on all 1099's for the year.
Form 945	<b>Annual Return of Withheld Federal Income Tax:</b> Summary of federal taxes withheld during the year. Must match the total of taxes reported on all 1099's for the year. A schedule M that lists previous tax payments is also sent with the Form 945.
Data CD	The <b>electronic media</b> sent to FCERA, then on to the EDD for the

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Term	Definition
	purpose of reporting details relating to the DE-166 form for retiree payroll checks.
3480 Cartridge	The <b>electronic media</b> used by Internal I.T. to report the details relating to the DE-166 form for internal checks.

## 4 Process Overview

### 4.1 Process Scope

The scope of this process is limited to the quarterly filing of the DE-166 form(s) along with the associated electronic media, in addition to the annual summary reporting of taxes withheld to the state (DE-7) and federal government (945).

Specifically, the 1099R forms and the associated reporting of this data are not included in this process. The dollar values reported in the annual summary reports must match the total of the 1099's exactly.


### 4.2 Process Flow

A diagram is not required to further illustrate this process.

### 4.3 Process Steps

The Bank administers tax reporting on FCERA's behalf and in accordance with the calendar shown below. FCERA does not review the tax documents prior to the Bank filing the documents. The Bank provides Registers of tax filing data to FCERA.

Timing	Key Event
The end of each calendar quarter (3/31, 6/30, 9/30, 12/31)	The end of a quarterly reporting period. Bank reports the wages and withholding information on magnetic media along with the DE-166 form(s) for each quarter of the calendar year.
The last day of the month following the end of each calendar quarter (4/30, 7/31, 10/31, 1/31) or other deadlines established by EDD/IRS	The submission of the magnetic media along with the DE-166 form(s) is due from the Bank for the previous calendar quarter.
The end of the calendar year (12/31)	The calendar year is the basis for annual reporting on the DE-7 (State) and IRS 945 (Federal) tax reporting forms. The amounts reported on the annual forms should always exactly match the sum of the previous four quarterly reports.
The last day of the month following the end of a calendar year (1/31)	The annual reports (DE-7 and IRS 945) are due to IRS from the Bank.

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### 4.3.1 Quarterly/Monthly Process

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1. FCERA performs monthly verification of payment information.
2. FCERA reconciles data regarding the lump sum payments every payroll cycle by comparing Bank reports with reports from PENSIONS. Both State tax withholding and Federal tax withholding are checked for accuracy. Lump sum distributions require 20% federal tax withholding.
  - a. Lump sum distributions are initiated as a result of the Member returning the Disposition Form with the member's election chosen. The Payroll Unit Account Clerk completes the Excel spreadsheet with the member's election and contributions balances that are to be disbursed. The Supervising Accountant reviews the Disposition Form and the Excel spreadsheet for accuracy. The reviewed Excel spreadsheet is sent to the Bank via NBX with instructions to initiate the lump sum payment.
  - b. Reports used to support Tax Reporting
    - i. Tax Status Report (from Bank)
    - ii. Controls Total Summary Report
    - iii. Member's Audit Trail from PENSIONS, printed and attached to Disposition Form
    - iv. Screen shot of Member's <home screen> and <contribution history screen>
  - c. If the reconciliation of the PENSIONS with Bank is not successful, research is done to identify the discrepancy and correct the entry (usually an entry is missing from PENSIONS).
3. FCERA gives approval for Bank to complete all quarterly tax documentation and file per Banks' schedule.


### 4.3.2 Annual Process

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For the annual reports (Federal 945 and State DE-7), the Bank combines the totals for the Retiree Payroll and lump sum distributions into a single annual amount for both Federal and State reporting. The annual process is completed entirely by the Bank.

## 4.4 Areas of Concern

1. An error in tax reporting can take a lot of effort and time to resolve, thus it is important to get it right the first time. The correction of errors in tax reporting lies mostly with the Bank.
2. A new PAS system will not increase the workload on FCERA for the purposes of tax reporting. FCERA does not wish to perform tax reporting in house, other than reconciliation and verification tasks.
3. FCERA records retention is perpetual for tax reporting. PAS data that supports tax reporting must be available forever.

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4. It is important to FCERA that the two major types of payments to members (1. Retiree Payroll and 2. Refund and Death payments) be reported separately when it comes to periodic (quarterly) tax reporting.

## 4.5 Key Business Rules

### 4.5.1 Policies

The business rules regarding tax reporting are directly related to tax reporting rules of both State and Federal government. There are no business rules particular to FCERA for tax reporting.

### 4.5.2 Currently Used Forms and Reports


DE-166	<b>Magnetic Media – Submittal Sheet: Quarterly Wage and Withholding Information</b> This report (single page) accompanies the magnetic media on which is reported detailed data (per member) on quarterly state taxes withheld.
DE-7	<b>Annual Reconciliation Statement:</b> Summary of state taxes withheld during the year. Must match the total of taxes reported on all 1099's for the year.
Form 945	<b>Annual Return of Withheld Federal Income Tax:</b> Summary of federal taxes withheld during the year. Must match the total of taxes reported on all 1099's for the year. A schedule M that lists previous tax payments is also sent with the Form 945.
Controls Total Summary Report	<b>Controls Total Summary Report.</b> This report gets generated from PENSIONS data after PSBiweekly employer payroll import processing. It contains summations of all PENSIONS transactions for the period. This report is reconciled to Bank reports.
Tax Status Report	<b>Tax Status Report.</b> Report from Bank listing all lump sum distributions, by Tier, for the period. FCERA verifies the tax withholding information for these lump sums before giving the bank approval to pay.
Member Audit Trail	<b>Member's Audit Trail</b> from PENSIONS printed and attached to Disposition Form.
Screen shots	<b>Screen shots</b> of Member's home screen and contribution history screen.

## 4.6 Data Points

There are no data interfaces supporting this process.

## 5 Analysis & Recommendation

FCERA outsources tax reporting to their Bank. This is appropriate for FCERA as tax reporting can consume resources exceeding that which FCERA is able to staff. The


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outsourcing model provides economy of scale and leverages the quality assurance capabilities at the Bank.

As long as tax reporting is done by the Bank, recommendations in this area involve having the tools within the PAS to help reconcile payment data between the Bank and the PAS. The tools can be reports, search, query, or similar capabilities that make the reconciliation routine and efficient. When there are issues, the research and actions required to resolve the issues need to be straightforward in the PAS user interface.

## 6 Requirements

ReqID	Process	Requirement details	Priority
511.001	Tax Reporting	The PAS will provide tools and reports to assist FCERA staff with monthly payment reconciliation between PAS and Bank data.	1
511.002	Tax Reporting	The PAS will provide tools and reports to ensure the dollar values reported in the annual tax summary reports exactly match the total on the members' annual 1099R forms,	1
511.003	Tax Reporting	The PAS will provide tools and reports to assist FCERA staff with reconciling lump sum payments, and their associated State and Federal withholding, every payroll cycle by comparing Bank reports with PAS reports and data.	1
511.004	Tax Reporting	The PAS will provide <b>Controls Total Summary Report</b> containing summations of all PENSIONS transactions for the period. This report is currently generated after each active payroll import.	2
511.005	Tax Reporting	The PAS will provide the <b>Member's Audit Trail</b> report.	2
511.006	Tax Reporting	The PAS will provide the capability to create <b>Screen shots or reports</b> containing the information in the member's home screen and contribution history screen.	2
511.007	Tax Reporting	The PAS will not increase the workload on FCERA for the purposes of tax reporting.	1
511.008	Tax Reporting	The PAS will provide the capability to retain in perpetuity all records pertaining to tax reporting.	2
511.009	Tax Reporting	The PAS will provide the capability to track separately the two major types of payments to members (1. Retiree Payroll, and 2. Refund and Death payments) for the purposes of quarterly tax reporting.	2
511.010	Tax reporting	The PAS will provide the capability to apply changes to taxability for the entire calendar year in the case of benefit conversions. For example, if a member converts from service retirement to service-connected disability retirement in May, the resulting taxability changes are applied to payments made in the months of January through May as well as to future payments.	3
511.011	Tax Reporting	The PAS will provide the capability to apply changes to taxability for a partial calendar year in the case of benefit conversions.	2

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	Project: PENSION ADMINISTRATION SYSTEM	
	Error Corrections & Adjustments	

## 4.4.512 Error Corrections & Adjustments

### 1 Overview

The primary objective of the Error Correction process is to put all impacted parties in the position in which they would have been had the error never occurred.

From time to time, errors are made in the administration of FCERA with respect to member contributions, payment of benefits or other administrative actions. These error corrections contrast with incidental errors in that they are usually system-wide issues due to unusual circumstances.

Consistent with its fiduciary obligations to lawfully administer FCERA (and in compliance with tax law) the Board and staff will make all reasonable efforts to correct errors to put all impacted parties in the position in which they would have been had the error never occurred. When that cannot be accomplished, the Board and staff will implement a reasonable correction process under the circumstances, which is consistent with the Board's fiduciary duties and other applicable law.

### 2 Roles

PAS Role Name	Definition
Board of Retirement	The executive decision-making body for FCERA, comprised of FCERA's executive Retirement Administrator plus individuals from outside FCERA
FCERA staff	The team of individuals at FCERA who support member operations. "Staff" usually refers to non-managers.
Bank	FCERA's distribution bank, State Street Bank

### 3 Process Overview


#### 3.1 Process Scope

The Error Correction process begins with FCERA becoming aware of an administrative error. The error may be detected by any party or system process (member, FCERA staff, PAS, computer processing, etc). The Error Correction process ends when an acceptable resolution has been achieved.

The nature of the acceptable resolution depends on the scope of the error.

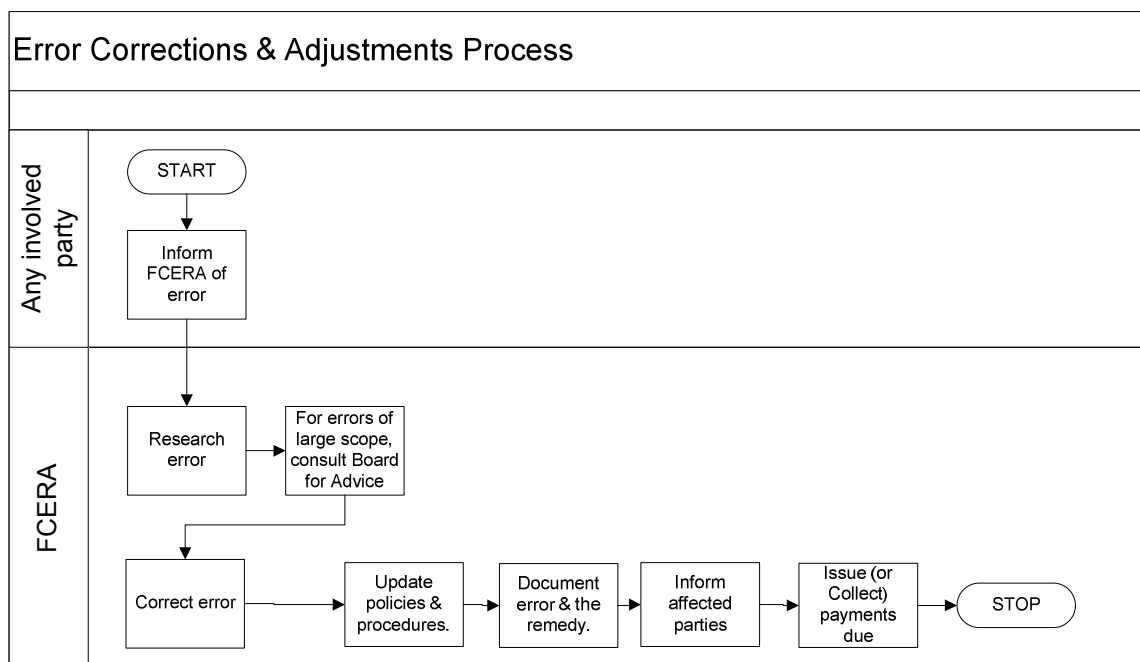
Examples of errors that have happened in the past include

- a. Adjustments to benefits

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- b. Off-cycle payroll. This happens when the County does not pay a person on time or correctly, such as during the transition from Active to Retired. The County creates a special payroll transaction that does not come to FCERA in the regular PSBiweekly import. FCERA staff hand-enter in PENSIONS the contributions and salary information for off-cycle payroll. Off-cycle payroll happens only with the County and Courts, not with Districts.
- c. Supplemental Cost of Living Adjustment (COLA)
- d. Final Compensation calculation errors
- e. COLA Errors
- f. Interest error posting or rate change error
- g. Transactions posting to wrong individual (such as posting to beneficiary instead of member, etc)
- h. Non-demographic information changes and corrections on member accounts (distribution code, location codes, for example)

### 3.2 Process Flow



### 3.3 Process Steps

1. Errors are detected by an involved party (Member, Auditor, FCERA staff, system processing, Beneficiary, etc)

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2. FCERA is made aware of error via phone call, letter, system process alert, or other means.
3. FCERA staff researches the reported error and its scope. Depending on scope of error, the FCERA staff may be required to present the issue to the Board of Retirement for direction.
4. FCERA documents the error, and its correction, in a manner appropriate to the scope of the error. Policies and business practices are changed to prevent the error in the future.
5. FCERA staff corrects error
6. FCERA staff informs affected parties (if appropriate to scope of error).
7. FCERA issues any underpayments, or collects any overpayments, resulting from the error. For overpayments, FCERA charges a variable interest rate that can be overridden or reduced based on Board direction. FCERA grants a flat interest rate on underpayments.

### 3.4 Areas of Concern


#### 3.4.1 Audit Trail

There must be a complete audit trail of all changes made in response to a system-wide error. The information in the audit trail will be sufficient to trace the correction from beginning to end, and include at a minimum the date of change, account affected, before value, after value, user who made the change, reason for change. The audit trail will be retained for a specified number of years, as determined by FCERA Policy. The retention period is currently 3-5 years, and may change. Compression or other efficiency algorithms will be used on the audit trail to keep storage overhead to a minimum.

#### 3.4.2 Location Codes

FCERA Location Codes are coded alphanumeric strings that tell FCERA the type of benefit that the member has. FCERA uses 4-digit codes, with each code equating a description. The Bank accepts 4 digit codes but has the capability of accepting a 6 digit and 10 digit code in addition to the four digit code (see NBX file layout). A translation table of code to description is required both internally and at the Bank. When location code changes are made, they must be made for the Bank as well as in the PAS for FCERA. The concept of FCERA location codes must prevail in new PAS, with ability to add, change, and delete location codes. Benefits conversions cause location codes to change on a member's account (ex: conversion of a service retirement to disability retirement). Changing a location code at the Bank is currently a manual process that requires notification to the Bank prior to the monthly payroll being processed. FCERA expects that the PAS will provide some type of reporting to the bank in order to facilitate the change of location code correctly.



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### 3.4.3 Tracking Status of Non-Member Payees

FCERA requires the capability to track the status of non-member payees, such as for the stop date on continuances for minor children enrolled in school and for beneficiaries. When stop dates are not tracked properly and go undetected, they can lead to a big error correction project. Currently, FCERA relies on the Bank to produce a birth date report to help administer stop dates

### 3.4.4 Changing Actuarial Assumptions

The PAS must allow FCERA to change the actuarial assumptions under which the PAS performs some of its calculations. Examples of actuarial assumptions include Estimated Life and Assumption Rate, both of which affect the calculations in the PAS around the reserve transfer and the breakdown of the benefit.

### 3.4.5 Changing Member Information

FCERA needs to be able to make changes internally to demographic data (name and address changes, direct deposit, withholding, for example). For a new retiree, the initial demographic information is in the payroll record (Excel) sent to the Bank. Subsequent updates are scanned and forwarded to the bank via a secure transport (NBX). Further, financial information (paysource/funding information, withholding, etc) is given to the Bank as special instructions and requires signoff verification by FCERA before the bank will issue payment. FCERA wants all this information, both demographic and financial, to be in the PAS and then pushed to the Bank rather than FCERA sending messages to the Bank and waiting for the Bank to send the updates in the payroll file back to the PAS.


### 3.4.6 Correcting Errors in Posting

Posting history becomes incorrect when transactions post to the wrong individuals due to SSN transposition, beneficiary payee vs member payee mismatches, and other reasons. At times, there is no apparent pattern to the posting errors. FCERA requires more intelligent matching in the PAS when posting transactions, or at least reporting when the PAS made a questionable match. Currently the matching and mismatching is silent, so errors can go unnoticed. The PAS will provide tools to aid in identifying and correcting posting errors.

## 3.5 Key Business Rules

### 3.5.1 Policies

1. The Policy for Error Correction is documented in Tax Law and the Charter of FCERA.
2. The Policies and Procedures for resolving overpayments and underpayments to active members and retirees can be found on [www.fcera.org](http://www.fcera.org)
  - *Policies and Procedures Governing the Overpayment or Underpayment of Member Contributions*

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- *Policies and Procedures Governing the Overpayment or Underpayment of Retirement Benefits*
3. Immediately upon the identification of a potential error, information must be forwarded to the Benefits Manager and the Assistant Retirement Administrator. A summary of the error, how it occurred, possible impact (number of members and estimated dollars), and plan to correct and prevent reoccurrence is provided so that the Retirement Administrator and Board can be apprised of the issue.
  4. Documentation of how the error was corrected is dependent upon the issue.

### 3.5.2 Interest on Overpayment and Underpayments

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Interest on underpayment and overpayments involves two different interest rates:

**Apportioned Interest Rate** on contributions is determined by Board and is equal to the COLA rate most recently issued to retirees. Each semi-annual interest posting uses one-half of the Apportioned Interest Rate to calculated interest on the members' contribution account balances.

**Assumed Interest Rate** (currently 8%) is FCERA's actuarial assumed rate of return.


1. For overpayments, FCERA charges an interest rate that can be overridden or reduced based on Board direction. Interest is calculated on each amount individually until the amount is paid or repayment is begun. Repayments (installments) include an interest component.

**Overpayment of contributions by active members.** The member has contributed more money than required and FCERA owes the member money plus interest. FCERA pays the member the amount owed plus interest. The interest rate used is the annual Assumed Interest Rate. The money to pay the additional interest (interest in excess of the interest apportioned to the member's account) is drawn from the associated Employer's reserve account.

**Overpayment of Benefits to retiree.** FCERA has paid the retired member more money than required and the retired member owes FCERA money plus interest. If the error was due to a mistake by the member, the annual rate used is the annual Assumed Rate that was applicable during the time the overpayments were made. If the overpayment was the fault of FCERA, the annual rate used is the last Apportioned Interest Rate on the member's contribution account.

2. FCERA grants an interest rate on underpayments. Interest is calculated on each amount individually until the amount is paid or repayment is begun.

**Underpayment of contributions by active member.** The member has not contributed the required money and the member owes FCERA money plus interest. If the error was due to a mistake on the member's part, member is charged the annual Assumed Interest Rate that was applicable when the underpayments were made. If the

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error was due to a mistake by FCERA, the rate used is the annual Apportioned Interest Rate for the period in which the underpayments occurred.

**Underpayment of Benefits to retiree.** FCERA has paid less than the required amount to the retired member and FCERA owes money plus interest to the retired member. FCERA pays the amount due with an annual interest rate equal to the Assumed Interest Rate.

### 3.5.3 Currently Used Forms and Reports

Payroll Schedules

Overpayment Letter

Underpayment Letter

### 3.6 Data Points

There are no interfaces particular to this process.

## 4 Analysis & Recommendation


While rare, administrative errors affecting the FCERA membership base do occur. The process to correct the errors can be quite time-consuming and complex in the current FCERA systems. A future PAS needs to include tools for efficient identification of the affected members, assessment of the impact, and implementation of the correction. Scripting and bulk data updates, for example, allow many data records to be changed at once. In the process of correcting errors, accurate logging/auditing of all changes made to data in the PAS is essential, as these types of errors can lead to policy and business process changes in the organization.

Location Codes, described above, are essential to benefit and administration at FCERA and at the Bank. A PAS must be able to support the concept of Location Codes.


## 5 Requirements

The table below lists the formal requirements supporting larger-scale error corrections and adjustments.


ReqID	Process	Requirement details	Priority
512.001	Error Corrections & Adjustments	<p>The PAS will provide the capability to correct non-incidental errors of any scale, such that all affected parties are in the position in which they would have been had the error never occurred.</p> <p>Examples of errors that have happened in the past are listed below</p>	1

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		<p>to characterize the type of errors addressed by this requirement.</p> <p>a) Adjustments to benefits</p> <p>b) Off-cycle payroll. This happens when the County does not pay a person on time or correctly, such as during the transition from Active to Retired. The County creates a special payroll transaction that does not come to FCERA in the regular PSBiweekly import. FCERA staff hand-enter in PENSIONS the contributions and salary information for off-cycle payroll. Off-cycle payroll happens only with the County and Courts, not with Districts.</p> <p>c) Supplemental Cost of Living Adjustment (COLA)</p> <p>d) Final Compensation calculation errors</p> <p>e) COLA Errors</p> <p>f) Interest error posting or rate change error</p> <p>g) Transactions posting to wrong individual (such as posting to beneficiary instead of member, etc)</p> <p>h) Non-demographic information changes and corrections on member accounts (distribution code, location codes, for example)</p>	
512.002	Error Corrections & Adjustments	The PAS will provide a complete audit trail of all changes made to data in response to a system-wide error.	2
512.003	Error Corrections & Adjustments	The PAS will provide sufficient information in an error correction audit trail such that data corrections can be traced from beginning to end.	2
512.004	Error Corrections & Adjustments	The PAS will include in the error correction audit trail, at a minimum: the date of change, account affected, before value, after value, user who made the change, and reason for change.	2
512.005	Error Corrections & Adjustments	The PAS will provide the capability to retain the error correction audit trail for any number of years, as determined by FCERA Policy. The retention period is currently 3-5 years, and may change.	2
512.006	Error Corrections & Adjustments	The PAS will employ data compression or other efficiency algorithms on the error correction audit trail to keep storage overhead to a minimum.	3
512.007	Error Corrections & Adjustments	The PAS will provide the capability to support FCERA location codes.	2
512.008	Error Corrections & Adjustments	The PAS will provide the capability to add, change, and delete location codes. (Benefits conversions are one example that can cause location codes to change on a member's account. ex: conversion of a service retirement to disability retirement.)	2
512.009	Error Corrections & Adjustments	The PAS will provide the capability to ensure changes to location code are made at the Bank as well as in the PAS.	2
512.010	Error Corrections & Adjustments	The PAS will provide the capability to track and report the status of non-member payees, such as for the stop date on continuances for minor children enrolled in school and for beneficiaries.	2
512.011	Error Corrections & Adjustments	The PAS will provide the capability to change the actuarial assumptions under which the PAS performs some of its calculations	2

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	<b>Error Corrections &amp; Adjustments</b>	

512.012	Error Corrections & Adjustments	The PAS will provide the capability to make changes to demographic data (name and address changes, direct deposit, withholding, for example) when required to correct errors.	2
512.013	Error Corrections & Adjustments	The PAS will provide the capability to push changes to demographic data to the Bank in an electronic interface file.	2
512.014	Error Corrections & Adjustments	The PAS will provide tools to aid in identifying and correcting posting errors due to non-financial changes.	2
512.015	Error Corrections & Adjustments	The PAS will provide intelligent matching when posting transactions to member accounts.	2
512.016	Error Corrections & Adjustments	The PAS will report transactions for which the match to the members' accounts is questionable.	2
512.017	Error Corrections & Adjustments	The PAS will generate the appropriate payroll adjustments that result from the correcting of posting errors.	2
512.018	Error Corrections & Adjustments	The PAS will provide the capability for FCERA to charge a rate of interest, based on FCERA's Policy, for overpayments resulting from errors.	2
512.019	Error Corrections & Adjustments	The PAS will provide the capability to grant a rate of interest, based on FCERA's Policy, for underpayments resulting from errors.	2
512.020	Error Corrections & Adjustments	The PAS will provide the capability to override any interest rate resulting from errors.	2

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	Project: PENSION ADMINISTRATION SYSTEM	
	1099R Processing	

## 4.4.513 1099R Processing

### 1 Overview

The primary objective of the 1099R Processing is to issue accurate 1099R forms before the IRS deadline. In general, FCERA must issue 1099R forms to everyone to whom payment has been made during the tax year. Corrections are possible and result in a Corrected 1099R.

State Street Bank (the Bank) currently performs the actual production of 1099R forms. While FCERA does not anticipate bringing the 1099R production in-house, this document presents various strategies through which FCERA could gain more control over the data supporting 1099R documents and possibly streamline year-end data validation.

In this document, Form 1099R also means Form 1049, which is used to report tax withheld on certain income of persons living outside the United States. All processing described here applies to Federal and State reporting on these forms.

### 2 Roles


PAS Role Name	Definition
Accounting	Internal FCERA Accounting team
Retirement Coordinator	FCERA staff responsible for serving members
Bank	State Street Bank
Payroll Unit	A work group within FCERA that provide preparation and validation of retiree payroll information that is given to the Bank

### 3 Current Process Overview

#### 3.1 Process Scope

The 1099R Processing begins every year in January after FCERA has completed the annual verifications of member data. The members included in this process are all payees from the retiree payroll and all payees of lump sum payments from FCERA in the calendar year.

Initial Distribution Codes are confirmed in the payroll process, but might need to be changed through the course of the year. An Excel spreadsheet is sent to the Bank as

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instructions for setting up the payment which includes the distribution code for the payment.

Distribution Codes are reviewed, and perhaps corrected, manually in the middle of each month before the Bank runs monthly payroll report. FCERA approves the monthly payroll report prior to the Bank issuing the payments.

FCERA does not have a year-end process to 'close out' the year. Instead, from mid-September to mid-December, FCERA engages in various conversations and verifications with the Bank. The data supporting 1099R production is reviewed with a focus on special cases. In mid-December, FCERA will give the Bank approval to schedule 1099R production on the Bank's timeline.

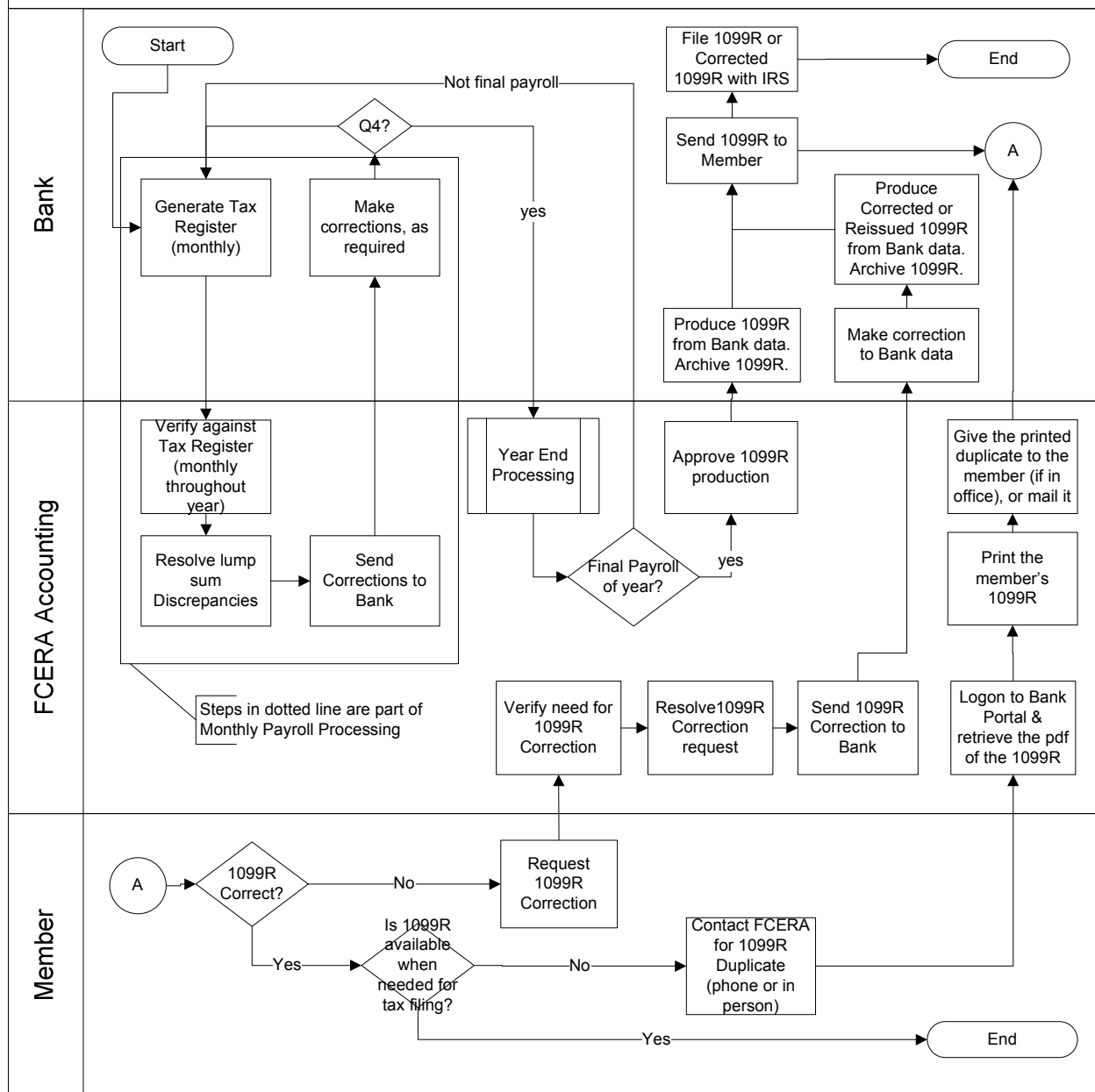
Due to the distinct differences in the business rules and complexity of the regular retiree payroll and the distribution of refunds and other lump-sum payouts, FCERA would like to process the 1099Rs in two separate batches, one for each of these groups.

The 1099R Processing ends when accurate 1099Rs have been for the tax year.


### 3.2 Process Flow

The diagram below depicts FCERA's current business process around 1099R production.

## 1099R Processing (As-is)





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### 3.3 Process Steps

Timing	Key Event
Mid-December	Verifications complete. FCERA gives Bank approval to schedule 1099R production in January.  FCERA gives Bank approval for final payroll of the year.
December 31, or nearest business day prior	Bank issues final payments for the year.
January 31 (or following business day if it falls on a weekend or holiday)	The 1099Rs must be mailed from Bank on or before this date.
March 31	Bank must E-File 1099R with IRS on or before this date

The Bank administers these process dates under contract with FCERA.

#### For Retiree payroll:

1. During fourth quarter, special cases for the year are identified and reviewed using reports from the Bank. The special cases are
  - a. New Retirees
  - b. Service Connected Disability
  - c. Regular retirement conversions to disability
  - d. Corrections and changes of Distribution Codes. The Distribution Codes of particular interest are:
    - i. Code 3 = Disability
    - ii. Code 4 = Deceased
    - iii. Code 7 = Normal distribution
    - iv. Code 2 = Early distribution, exception applies
    - v. Code 1 = Early distribution, without exception
    - vi. Multiple distribution codes
  - e. Repayment agreements. Most retirees have repayments deducted from their benefit payments. If the repayment was made by personal check, the amount is adjusted from the gross distribution and taxable amount on the 1099R. FCERA instructs disbursement bank to adjust gross and taxable distribution by amount of repayment by submitting an Excel spreadsheet detailing the benefit payment and pay sources that require adjustment.
  - f. Taxability corrections and changes (for example, previous to January 1, 2003 FCERA did not track taxability. After this date, FCERA tracks taxability and the taxable amount is reported on the 1099R. Payees whose tenure straddles this date can experience 1099R corrections related to taxability.)
  - g. Service Connected Disability and Conversions. A portion of the benefits paid to members receiving a Service Connected Disability is nontaxable as determined by the IRS. When a member service retires pending a disability, all payments are taxable until a final decision is made on the application. Once a service connected

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disability is approved, the benefits paid are reclassified to nontaxable to the extent allowed by IRC, generally resulting in both taxable and nontaxable benefits. Benefits paid during the current taxable year are re-categorized to be reported correctly. No corrections are made to prior year benefits or tax reporting.


- h. Multiple distribution Codes. Multiple distribution codes will result in duplicate Form 1099Rs. This is sometimes appropriate, such as for relocations between states, death, and reaching normal retirement age. However, it does require review to reduce the issuance of duplicate Form 1099Rs when they are not appropriate, such as when there is disability conversion, location change, or name discrepancy.
2. All 1099R documents are processed by the Bank. FCERA accesses 1099R documents online after the filing deadline using the Bank's website to print duplicates for retirees when requested.

**For Refunds, Death benefits, and other lump sum payments:**

1. Before monthly payroll goes out, FCERA verifies data on the Bank's Tax Register by comparing data in the FCERA Excel spreadsheets (lump sum schedules) with data reported on the trial balance report from the bank. To assist with preparation of the Excel spreadsheet, a screen shot of the member's demographic information, including SSN, Address, etc is captured from PENSIONS. A manual reconciliation between the Excel spreadsheet and PENSIONS is performed on the member's benefit payment history. The Tax Register lists:
  - a. All lump sum distributions
  - b. Number of distributions
  - c. Dollar amounts for total of distributions
  - d. Individual Distribution Codes
2. FCERA verifies the distribution codes. Initially, Distribution Codes get set up in an Excel spreadsheet by an Account Clerk at the time of member's disposition request is being processed.

Distribution Codes are reviewed, and perhaps corrected, manually in the middle of each month before the Bank runs monthly payroll reports. FCERA approves the monthly payroll report prior to the Bank issuing the payments. The Distribution Codes of particular interest are listed below.

- a. Code 1 = Early distribution
- b. Code 2 = Early distribution, exception applies
- c. Code 3 = Disability
- d. Code 4 = Deceased (the final month of the annuity benefit, known as Final Days Paid, will be issued as an installment, prior to any lump sum death benefit being paid)
- e. Code 4G = Deceased / Direct Rollover
- f. Code 7 = Normal distribution

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g. Code G = Direct Rollover

3. Any discrepancies or incorrect values are identified, resolved and corrected.

### For Corrected 1099Rs


1. FCERA identifies the need for a correction. The identification may be the result of a member inquiry, internal review, Bank review, or any other source.
2. FCERA verifies the need for correction. If the need is not valid, the process stops.
3. If FCERA determines the correction is necessary, FCERA prepares instructions to the Bank in the form of Excel spreadsheets that the Bank will use to produce new 1099Rs.
4. If the Bank receives the corrections prior to the Bank's IRS filing date, the Bank will **re-issue** the 1099R. A re-issued 1099R **replaces** the original 1099R sent to the member. The member uses the re-issued 1099R to file taxes with the IRS, and can discard the original.
5. If the Bank receives the corrections from FCERA after the Bank's IRS filing date, the Bank will produce a **Corrected** 1099R. The Corrected 1099R amends the original and the member must designate the 1099R information as Corrected when filing taxes with the IRS.

### For Duplicate 1099Rs

1. Member either calls or emails FCERA, or appears in person at the FCERA office to request a duplicate of the 1099R.
2. FCERA logs on to Bank portal and retrieves a pdf of the requested 1099R. (pdf versions of 1099Rs are available on the Bank portal for tax years 2008 and later.)
3. FCERA prints the member's 1099R.
4. If the member appeared in person, FCERA gives the duplicate 1099R to the member. Otherwise, FCERA mails the duplicate 1099R to the address currently on file. Note that the address on file might be different than the address on the original 1099R.

## 3.4 Areas of Concern

1. It is important that the PAS provides an override capability so that an authorized user can override data supporting 1099R processing when necessary. Some examples of the need for this override capability are:
  - a. When beneficiary birth date is missing or incorrect, the combined age and amortization of the nontaxable portion will be incorrect on the 1099R.


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- b. When a person changes from a Service Retirement to Service Connected Disability an incorrect 1099R can result.
2. If a reissue or correction of a 1099R is necessary, the instructions are given to the Bank in an Excel worksheet sent via secure email. A future PAS is expected to have the capability to eliminate the use of Excel as the data exchange mechanism to the Bank.
3. If a corrected 1099R is necessary, the 1099R corrections are computed outside the PAS system. The PAS system must allow for manual updating of this corrected data.
4. Check transactions must drive the 1099R total. The solution must not be implemented as two separate data systems – one for payments and one for 1099 processing – as some Banks and systems have done in the past.
5. The majority of 1099Rs are produced and mailed in January. The production of Corrected 1099Rs may extend well into the year. The number of Corrected 1099Rs varies greatly, based on the types of distributions processed during the year and the corrections necessary.
6. Printing of duplicate 1099Rs is handled internally at FCERA, whereas the originals and corrections are produced through the Bank.

### 3.5 Key Business Rules

#### 3.5.1 Policies

1. There are no specific business rules that drive this process other than the usual Federal requirements for 1099R reporting.
2. FCERA generally does not do Prior Year 1099R corrections (except for rare special cases done under legal direction or by law).
3. The date of January 1, 2003 is when FCERA began tracking taxability of distributions for 1099R reporting on members entering retiree payroll after this date.
4. Conversions apply to the entire tax year, regardless of when the conversion occurred during the year.
5. 1099R corrections are processed if required by law or legal direction for all distributions requiring correction. A Corrected 1099R will be issued only if there is a change to the taxable portion.
6. Address changes filed after 1099Rs are produced will not result in a corrected 1099R being issued.
7. The vested and non-vested Health Benefits are taxable to all recipients.

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### 3.6 Data Integration Points

#### 3.6.1 Currently Available Data

The following boxes are reported on the 1099Rs at FCERA:

1 - Gross Distribution:
2a - Taxable Amount:
2b - Taxability not determined:
2b - Total distribution:
4 - Fed withheld:
5 - EE contributions: (After-tax contributions).
7 - Distribution Codes:
9a - Percentage of total distribution: (Used for Death Benefits)
9b - Total EE contributions: (For the initial 1099R for a member, this amount represents the total after-tax contributions by the payee, not deducting the after-tax amount in box 5. In subsequent years this amount is the remaining after-tax amount, after the amount in box 5 is deducted)
10 - State withheld:
11 - State/Payer's state #: (PENSIONS only)
12 - State distribution: (Same as Box 1, Gross Distribution)

In addition to the standard boxes on the 1099Rs, the following demographic and account data is required:


Payee Name
Payee SSN or TaxID
Payee Address
Payee Account# (contains the value "FCERA" followed by a location code, for example FCERA SSCD or FCERA GNRL)
Payer information and Federal ID

#### 3.6.2 Bank interface specification

FCERA does not send a file to the Bank for 1099R production. Instead, the Bank uses actual check transactions to compute the amounts that go onto the 1099R.

If a correction is required, FCERA sends Excel files to the Bank describing the correction to the check transaction(s), and then the Bank will generate a new 1099R from the corrected transaction(s).

The Appendix of this document contains two examples of Excel files sent to the Bank, one for conversions to service-connected disability retirement, and one for corrections to annuity payments.

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### 3.7 Currently Used Forms and Reports

Form 1099R for Federal and State

Form 1042 for Federal and State

Tax Register from Bank

FCERA Disposition Form

Reconciliation reports from PAS to aid in reconciling to Bank and G/L

Quarterly reconciliation reports from the Bank.

## 4 Analysis and Options

With the adoption of a modern PAS, FCERA may wish to consider changing the current 1099R processing. All viable PAS products provide the capability to print 1099Rs or produce data files to send to an outsourced printer.

It is understandable if FCERA does not want to bring actual document production and archiving in-house. Keeping control of the data supporting 1099R production, though, is something FCERA should consider going forward. Below are four options for FCERA to discuss regarding future 1099R processing.

Option 1: FCERA produce 1099Rs in-house using the PAS.


This option will allow FCERA to generate the 1099R data and print the 1099R using the PAS. All production and mailing of original, corrected, and duplicate 1099Rs will be done internally, as will the archiving of the 1099Rs to the EDMS. Historical 1099Rs would be obtained from the Bank and imported to the EDMS.

Option 2: FCERA produce 1099Rs in-house with a software program dedicated to 1099R printing

This option will allow FCERA to generate the 1099R data, send it to another software system in-house, and print the 1099Rs out of that system. All production and mailing of original, corrected, and duplicate 1099Rs will be done internally, as will the archiving of the 1099Rs to the EDMS. Images of historical 1099R documents would be obtained from the Bank and imported to the FCERA's EDMS.

Option 3: FCERA generate 1099R data and outsource the printing

FCERA will generate the 1099R data and send it to an outside provider such as State Street, who will print the 1099Rs. When corrections are necessary, the data will be corrected in the PAS and sent to the outsourced printer. The archiving of the documents would be handled by the outsource provider. Duplicate 1099Rs would be obtained through the outsource provider. Alternatively (or perhaps additionally), FCERA could

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acquire the document images and archive them in FCERA's EDMS to support the printing of duplicates.

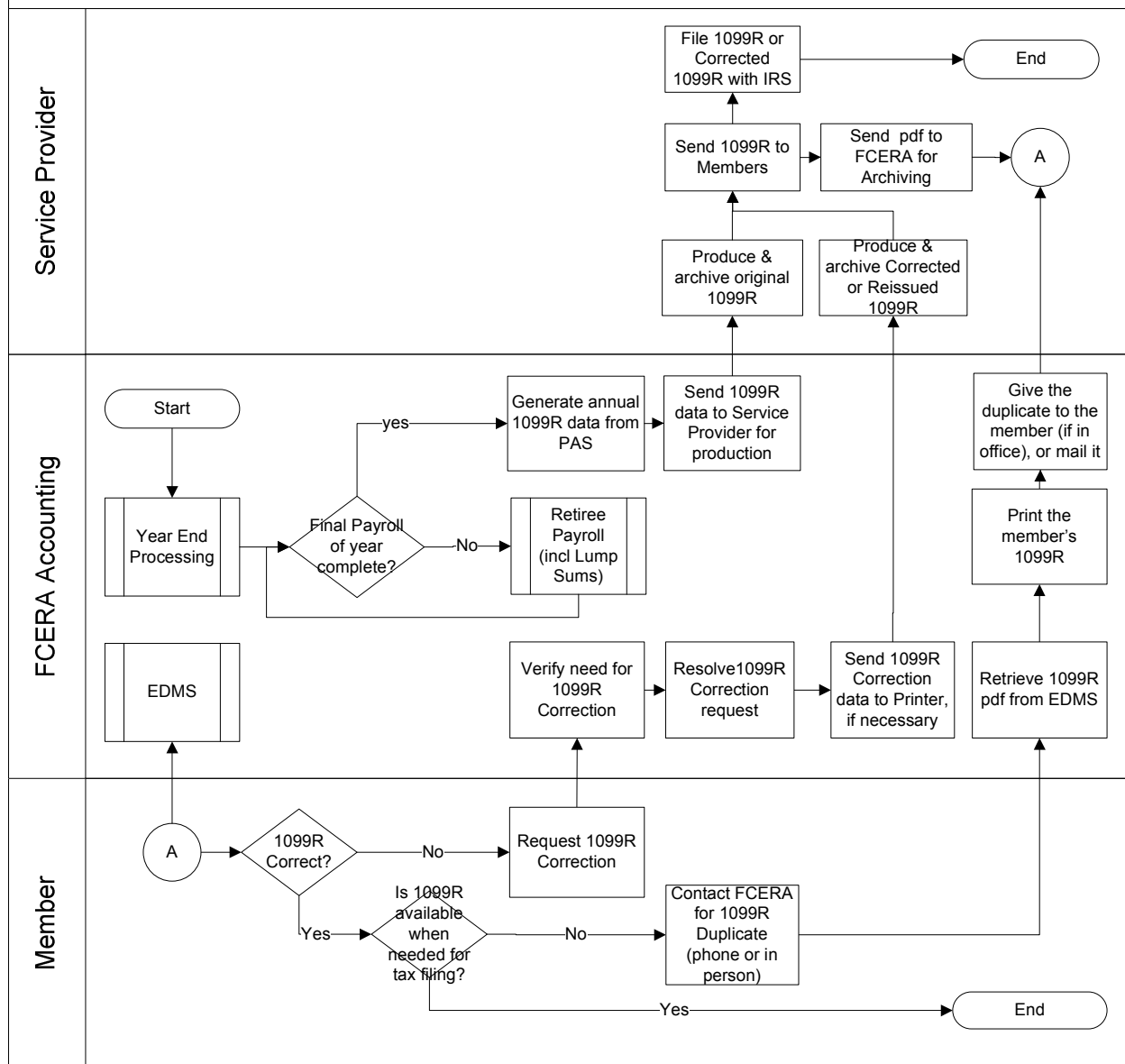
**Option 4: FCERA outsource the entire process of 1099R production (such as today)**

With this option, the Bank will generate the 1099R data from the tax year's payroll data and perform all document production, mailing, and archiving. Correction requests will be sent to the Bank for processing, printing, and mailing. Duplicates will be obtained either from archives at the Bank using an online portal or by requesting a duplicate directly from the Bank. Alternatively (or perhaps additionally), FCERA could acquire the document images and archive them in FCERA's EDMS to support the printing of duplicates.


This option perpetuates the need to continually reconcile the Bank's 1099R data with the data in the PAS. A data feed to the PAS from the Bank containing payroll and 1099R data will continue to be necessary to support this reconciliation.

The diagram below depicts a to-be process using Option 3 as a basis for comparison to current processing.

## 1099R Processing (To-Be)







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## 5 Requirements


ReqID	Process	Requirement details	Priority									
513.001	1099R Processing	FCERA requires a PAS to fulfill the objectives and scope of the 1099R Processing process.	1									
513.002	1099R Processing	The PAS will provide the capability for an appropriately privileged user to change Distribution Codes in the PAS for the member’s payments.	2									
513.003	1099R Processing	The PAS will provide the capability to send the Distribution Code changes to the Bank in an interface file generated by the PAS.	2									
513.004	1099R Processing	The PAS will provide the capability for an appropriately privileged user to override any value in a member’s account in the PAS to correct information supporting 1099R documents.	2									
513.005	1099R Processing	The PAS will provide the capability to send 1099R corrections to the Bank in an interface file generated by the PAS.	2									
513.006	1099R Processing	The PAS will provide the capability to reconcile annual payment totals for members based on the actual payment transactions, with 1099R totals generated at the Bank.	2									
513.007	1099R Processing	The PAS will provide the capability for an appropriately privileged user to correct current tax year 1099R amounts in a member’s account.	2									
513.008	1099R Processing	The PAS will provide the capability for an appropriately privileged user to correct prior tax years 1099R. At FCERA this is only done in rare special circumstances, under legal direction.	2									
513.009	1099R Processing	The PAS will provide the capability to apply an account conversion (ex service retirement to disability) effective for the entire tax year, regardless of when the conversion actually occurred.	3									
513.010	1099R Processing	The PAS will provide the capability to apply an account conversion (ex service retirement to disability) effective for a partial tax year, if required.	3									
513.011	1099R Processing	<div>The PAS will provide the capability to provide information in the monthly payroll file to the Bank such that the Bank has all the information necessary to produce Form 1099R and Form 1042 for <b>Federal</b> reporting,</div> <table><tr><td>1 - Gross Distribution:</td></tr><tr><td>2a - Taxable Amount:</td></tr><tr><td>2b - Taxability not determined:</td></tr><tr><td>2b - Total distribution:</td></tr><tr><td>4 - Fed withheld:</td></tr><tr><td>5 - EE contributions: (After-tax contributions).</td></tr><tr><td>7 - Distribution Codes:</td></tr><tr><td>9a - Percentage of total distribution: (Used for Death Benefits)</td></tr><tr><td>9b - Total EE contributions: (For the initial 1099R for a member, this amount represents the total after-tax contributions by the payee, not deducting the after-tax amount in box 5. In subsequent years this amount is the</td></tr></table>	1 - Gross Distribution:	2a - Taxable Amount:	2b - Taxability not determined:	2b - Total distribution:	4 - Fed withheld:	5 - EE contributions: (After-tax contributions).	7 - Distribution Codes:	9a - Percentage of total distribution: (Used for Death Benefits)	9b - Total EE contributions: (For the initial 1099R for a member, this amount represents the total after-tax contributions by the payee, not deducting the after-tax amount in box 5. In subsequent years this amount is the	2
1 - Gross Distribution:												
2a - Taxable Amount:												
2b - Taxability not determined:												
2b - Total distribution:												
4 - Fed withheld:												
5 - EE contributions: (After-tax contributions).												
7 - Distribution Codes:												
9a - Percentage of total distribution: (Used for Death Benefits)												
9b - Total EE contributions: (For the initial 1099R for a member, this amount represents the total after-tax contributions by the payee, not deducting the after-tax amount in box 5. In subsequent years this amount is the												

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		<div> <div>remaining after-tax amount, after the amount in box 5 is deducted)</div> <div>10 - State withheld:</div> <div>11 - State/Payer's state #: (PENSIONS only)</div> <div>12 - State distribution: (Same as Box 1, Gross Distribution)</div> </div> <p>In addition to the standard boxes on the 1099Rs, the following demographic and account data is required:</p> <div> <div>Payee Name</div> <div>Payee SSN or TaxID</div> <div>Payee Address</div> <div>Payee Account# (contains the value "FCERA" followed by a location code, for example FCERA SSCD or FCERA GNRL)</div> <div>Payer information and Federal ID</div> </div>	
513.012	1099R Processing	<p>The PAS will provide the capability to provide information in the monthly payroll file to the Bank such that the Bank has all the information necessary to produce Form 1099R and Form 1042 for <b>Sate</b> reporting.</p> <div> <div>1 - Gross Distribution:</div> <div>2a - Taxable Amount:</div> <div>2b - Taxability not determined:</div> <div>2b - Total distribution:</div> <div>4 - Fed withheld:</div> <div>5 - EE contributions: (After-tax contributions).</div> <div>7 - Distribution Codes:</div> <div>9a - Percentage of total distribution: (Used for Death Benefits)</div> <div>9b - Total EE contributions: (For the initial 1099R for a member, this amount represents the total after-tax contributions by the payee, not deducting the after-tax amount in box 5. In subsequent years this amount is the remaining after-tax amount, after the amount in box 5 is deducted)</div> <div>10 - State withheld:</div> <div>11 - State/Payer's state #: (PENSIONS only)</div> <div>12 - State distribution: (Same as Box 1, Gross Distribution)</div> </div> <p>In addition to the standard boxes on the 1099Rs, the following demographic and account data is required:</p> <div> <div>Payee Name</div> <div>Payee SSN or TaxID</div> <div>Payee Address</div> <div>Payee Account# (contains the value "FCERA" followed by a location code, for example FCERA SSCD or FCERA GNRL)</div> </div>	2

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ReqID	Process	Requirement details	Priority
		Payer information and Federal ID	
513.013	1099R Processing	The PAS will provide the capability to provide all information and tools necessary to reconcile GL to the PAS and the Bank 1099R reports.	2
513.014	1099R Processing	The PAS will provide the capability to differentiate taxable payments from non-taxable payments and calculate the respective totals.	2
513.015	1099R Processing	The PAS will provide the capability to provide all the information and tools necessary to reconcile the PAS to the monthly trial balance report from the Bank and verify the Tax Register from the Bank prior to payments being approved. The Tax Register from the Bank lists <ul style="list-style-type: none"> <li>• All lump sum distributions</li> <li>• Number of distributions</li> <li>• Dollar amounts for total of distributions</li> <li>• Individual Distribution Codes</li> </ul>	2
513.016	1099R Processing	The PAS will provide the capability to recognize January 1, 2003 as the date when FCERA began tracking taxable versus nontaxable payments. All payments to new retirees after this date are subject to tax rules.	2/3
513.017	1099R Processing	The PAS will provide the capability to exclude repayments from gross distributions and taxable amount when calculating totals for 1099R reconciliation.	2
513.018	1099R Processing	The PAS will provide the capability to send Adjustment to 1099R amounts to the Bank as part of the PAS interface file to the Bank.	2
513.019	1099R Processing	The PAS will provide the capability to properly handle the taxability for members whose payment history straddles January 1, 2003.	2/3
513.020	1099R Processing	The PAS will provide the capability to identify special cases to support annual verification of 1099R-related data from the Bank. The special cases are <ul style="list-style-type: none"> <li>• New Retirees</li> <li>• Interstate relocations</li> <li>• Service Connected Disability</li> <li>• Regular retirement conversions to disability</li> <li>• Corrections and changes of distribution codes. The distribution codes of particular interest are <ol style="list-style-type: none"> <li>1. Code 3 = Disability</li> <li>2. Code 4 = Deceased</li> <li>3. Code 7 = Normal distribution</li> <li>4. Code 2 = Early distribution, exception applies</li> <li>5. Code 1 = Early distribution, without exception</li> </ol> </li> </ul>	3
513.021	1099R Processing	The PAS will provide the capability to support, via reports, the monthly validation of Distribution Codes prior to generating a retiree payroll file to the Bank. The Distribution Codes is particular interest are <ol style="list-style-type: none"> <li>1. Code 1 = Early distribution</li> <li>2. Code 2 = Early distribution, exception applies</li> <li>3. Code 3 = Disability</li> <li>4. Code 4 = Deceased (the final month of the annuity)</li> </ol>	3

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<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
		<p>benefit, known as Final Days Paid, will issued as an installment, prior to any lump sum death benefit being paid)</p> <p>5. Code 4G = Deceased / Direct Rollover</p> <p>6. Code 7 = Normal distribution</p> <p>7. Code G = Direct Rollover</p>	
513.022	1099R Processing	The PAS will provide the capability to produce Form 1099R and Form 1042 (Original, Corrected, Reissued, and Duplicate) documents entirely in-house, should FCERA decide to so in the future.	2
513.023	1099R Processing	The PAS will provide the capability to produce a data file compatible with 1099 printing service providers, should FCERA decide to outsource printing of Form 1099R and Form 1042 documents.	2
513.024	1099R Processing	The PAS will provide the capability to archive Form 1099R and Form 1042 documents (Original, Corrected, Reissued, and Duplicate) produced in-house directly to an EDMS and properly associate each document with a member.	2
513.025	1099R Processing	The PAS will provide the capability to retrieve and print Form 1099R and Form 1042 documents (Original, Corrected, Reissued, Duplicate) that have been archived to FCERA's EDMS.	2
513.026	1099R Processing	The PAS will provide the capability to produce a data file compatible with IRS electronic filing requirements for 1099R.	2
513.027	1099R Processing	The PAS will provide the capability to produce a data file compatible with State of California electronic filing requirements for 1099R.	2
513.028	1099R Processing	The PAS will provide the capability to generate individual 1099Rs for each type of withdrawal payment having a unique distribution code. If the distribution code is the same for multiple payments, there will only be one 1099R.	2


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## 6 Appendix


### 6.1 Adjustments for Conversion from Service Retirement to Service Connected Disability

The sample below shows the Excel file sent to the Bank to adjust transaction data when a conversion from service retirement to service connected disability has occurred, thereby creating a change to the amounts reported on 1099R.

Last Name	First Name	SSN	Location	Check Date	Annuity	Non Taxable Annuity	COL	Nontaxable COL	Curr Serv	Non Taxable Curr Serv	HI th Ben 2	HI th Ben	Supp Ann	Non Taxable Supp Ann	Sup p Ben	S u p p C O L	S u r v i v o r	NT Sur viv or
			Pay source		P001	P011	P004	P012	P007	P013	P008	P009	P018	P014	P019	P020	P021	P016
BEAVER		000-00-0000	GSCD	1/29/2010	(129.91)	129.91	(69.84)	69.84	(764.81)	764.81			(252.11)	252.11				
GUERRA		000-00-0000	GSCD	1/29/2010	(290.05)	290.05	(188.70)	188.70	(1027.31)	1027.31			(329.37)	329.37				
MUGICA		000-00-0000	GSCD	1/29/2010	(102.94)	102.94	(88.73)	88.73	(508.14)	508.14			(162.77)	162.77				
MUGICA		000-00-0000	GSCD	2/26/2010	(102.94)	102.94	(88.73)	88.73	(508.14)	508.14			(162.77)	162.77				
MUGICA		000-00-0000	GSCD	3/30/2010	(102.94)	102.94	(88.73)	88.73	(508.14)	508.14			(162.77)	162.77				
MUGICA		000-00-0000	GSCD	4/30/2010	(102.94)	102.94	(93.05)	93.05	(508.14)	508.14			(162.77)	162.77				
OHLBERG		000-00-0000	SSCD	1/29/2010	(364.30)	364.30	(78.69)	78.69	(1733.64)	1733.64			(525.28)	525.28				
OHLBERG		000-00-0000	SSCD	2/26/2010	(364.30)	364.30	(78.69)	78.69	(1733.64)	1733.64			(525.28)	525.28				
OHLBERG		000-00-0000	SSCD	3/30/2010	(364.30)	364.30	(78.69)	78.69	(1733.64)	1733.64			(525.28)	525.28				
OHLBERG		000-00-0000	SSCD	4/30/2010	(364.30)	364.30	(78.69)	78.69	(1733.64)	1733.64			(525.28)	525.28				

	<b>FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION</b>		FCERA-PAS-REQ-513
	<b>Project: PENSION ADMINISTRATION SYSTEM</b>		
	<b>1099R Processing</b>		

		0000															
OHLBERG		000-00-0000	SSCD	5/28/2010	(364.30)	364.30	(78.69)	78.69	(1733.64)	1733.64		(525.28)	525.28				
OHLBERG		000-00-0000	SSCD	6/30/2010	(364.30)	364.30	(78.69)	78.69	(1733.64)	1733.64		(525.28)	525.28				
OHLBERG		000-00-0000	SSCD	7/30/2010	(364.30)	364.30	(78.69)	78.69	(1733.64)	1733.64		(525.28)	525.28				
OHLBERG		000-00-0000	SSCD	8/31/2010	(364.30)	364.30	(78.69)	78.69	(1733.64)	1733.64		(525.28)	525.28				
OHLBERG		000-00-0000	SSCD	9/30/2010	(364.30)	364.30	(78.69)	78.69	(1733.64)	1733.64		(525.28)	525.28				
STALLARD		000-00-0000	GSCD	4/30/2010	(204.54)	204.54			(1424.88)	1424.88		(462.05)	462.05				
STALLARD		000-00-0000	GSCD	5/28/2010	(217.52)	217.52			(1467.72)	1467.72		(477.97)	477.97				
STALLARD		000-00-0000	GSCD	6/30/2010	(214.45)	214.45			(1470.79)	1470.79		(477.97)	477.97				
STALLARD		000-00-0000	GSCD	7/30/2010	(214.45)	214.45			(1470.79)	1470.79		(477.97)	477.97				
AGUAYO-GARCIA		000-00-0000	GSCD	4/30/2010	(370.82)	370.82	(325.80)	325.80	(1269.21)	1269.21		(460.43)	460.43				
AGUAYO-GARCIA		000-00-0000	GSCD	3/30/2010	(370.82)	370.82	(313.65)	313.65	(1269.21)	1269.21		(460.43)	460.43				
AGUAYO-GARCIA		000-00-0000	GSCD	2/26/2010	(370.82)	370.82	(313.65)	313.65	(1269.21)	1269.21		(460.43)	460.43				
AGUAYO-GARCIA		000-00-0000	GSCD	1/29/2010	(370.82)	370.82	(313.65)	313.65	(1269.21)	1269.21		(460.43)	460.43				
SCRUGGS-LEACH		000-00-0000	GSCD	1/29/2010	(241.82)	241.82	(46.91)	46.91	(984.84)	984.84		(333.87)	333.87				
SCRUGGS-LEACH		000-00-0000	GSCD	2/26/2010	(241.82)	241.82	(46.91)	46.91	(984.84)	984.84		(333.87)	333.87				
SCRUGGS-LEACH		000-00-0000	GSCD	3/30/2010	(241.82)	241.82	(46.91)	46.91	(984.84)	984.84		(333.87)	333.87				
SCRUGGS-LEACH		000-00-0000	GSCD	4/30/2010	(241.82)	241.82	(46.91)	46.91	(984.84)	984.84		(333.87)	333.87				
SCRUGGS-LEACH		000-00-0000	GSCD	5/28/2010	(241.82)	241.82	(46.91)	46.91	(984.84)	984.84		(333.87)	333.87				
SCRUGGS-LEACH		000-00-0000	GSCD	6/30/2010	(241.82)	241.82	(46.91)	46.91	(984.84)	984.84		(333.87)	333.87				
SCRUGGS-LEACH		000-00-0000	GSCD	7/30/2010	(241.82)	241.82	(46.91)	46.91	(984.84)	984.84		(333.87)	333.87				
SCRUGGS-LEACH		000-00-0000	GSCD	8/31/2010	(241.82)	241.82	(46.91)	46.91	(984.84)	984.84		(333.87)	333.87				
SCRUGGS-LEACH		000-00-0000	GSCD	9/30/2010	(241.82)	241.82	(46.91)	46.91	(984.84)	984.84		(333.87)	333.87				
SCRUGGS-LEACH		000-00-0000	GSCD	10/29/2010	(241.82)	241.82	(46.91)	46.91	(984.84)	984.84		(333.87)	333.87				


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SCRUGGS-LEACH		000-00-0000	GSCD	11/30/2010	(241.82)	241.82	(46.91)	46.91	(984.84)	984.84			(333.87)	333.87				
		ADJUSTMENT TOTALS			(9,104.68)	9,104.68	(3,108.75)	3,108.75	(41,171.70)	41,171.70	-	-	(13,370.33)	13,370.33	-	-	-	-

## 6.2 Repayment Adjustments


The sample below shows the Excel file sent to the Bank to adjust transaction data when the taxable amount needs to be changed for 1099R purposes.

Last Name	First Name	SSN	Location	Repay Amount	Total Adjusted	Plus Web Check Date	Annuity	COL	Curr Serv	Hlth Ben 2	Hlth Ben	Supp Ben	Supp Ann	Supp COL	Survivor	Nontaxable COL
DANIEL		000-00-0000	GNQD	382.90	382.90	9/30/2010	(382.90)									
DANIEL		000-00-0000	GNQD	382.90	382.90	8/31/2010	(382.90)									
DANIEL		000-00-0000	GNQD	382.90	382.90	7/30/2010	(382.90)									
THOMAS		000-00-0000	GNRL	200.00	200.00	11/30/2010	(200.00)									
THOMAS		000-00-0000	GNRL	200.00	200.00	10/29/2010	(200.00)									
THOMAS		000-00-0000	GNRL	200.00	200.00	9/30/2010	(200.00)									
THOMAS		000-00-0000	GNRL	200.00	200.00	8/31/2010	(200.00)									
THOMAS		000-00-0000	GNRL	200.00	200.00	7/30/2010	(200.00)									
THOMAS		000-00-0000	GNRL	50.00	50.00	6/30/2010	(50.00)									
THOMAS		000-00-0000	GNRL	25.00	25.00	5/28/2010	(25.00)									
THOMAS		000-00-0000	GNRL	50.00	50.00	4/30/2010	(50.00)									
PIPPIG		000-00-0000	GNRL	158.03	158.03	11/30/2010	(158.03)									
PHELPS		000-00-0000	SSSC	1500.00	1500.00	11/30/2010									(1,500.00)	
PHELPS		000-00-0000	SSSC	1500.00	1500.00	10/29/2010									(1,500.00)	
PHELPS		000-00-0000	SSSC	1500.00	1500.00	9/30/2010									(1,500.00)	
PHELPS		000-00-0000	SSSC	1500.00	1500.00	8/31/2010									(1,500.00)	

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PHELPS		000-00-0000	SSSC	1000.00	1000.00	7/30/2010									(1,000.00)	
LIKENS		000-00-0000	GNRL	514.16	514.16	2/26/2010			(514.16)							
		<b>ADJUSTMENT TOTALS</b>		9,945.89	9,945.89		(2,431.73)	-	(514.16)	-	-	-	-	-	(7,000.00)	-



	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-514
	Project: PENSION ADMINISTRATION SYSTEM	
	Supplemental Benefit for Pre-2001 Retirees	

## 4.4.514 Supplemental Benefit for Pre-2001 Retirees

### 1 Overview

The primary objective of Supplemental Benefit for Pre-2001 Retirees process is to provide an additional cash benefit paid by FCERA, in accordance with the Settlement Agreement signed in December 2000.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who are responsible for day-to-day member support and processing.
FCERA staff	“Staff” at FCERA refers to non-managers. Retirement Coordinators are staff, along with many other roles.

### 3 Process Overview

#### 3.1 Process Scope

The Retiree Supplemental Benefits for Pre-2001 Retirees process is part of the benefits calculation.

#### 3.2 Process Flow


No diagram is necessary to illustrate this process.

#### 3.3 Process Steps

1. Determine member's retirement date with FCERA.
2. Apply the benefit to the retirees with retirement dates prior to January 1, 2001.
3. Consider any exceptions.

#### 3.4 Areas of Concern

The PAS must provide the capability to administer exceptions to the calculations and eligibility.

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-514
	Project: PENSION ADMINISTRATION SYSTEM	
	Supplemental Benefit for Pre-2001 Retirees	

### 3.5 Key Business Rules

#### 3.5.1 Calculating Supplemental Benefit for Pre-2001 Retirees

1. The Supplemental Benefit for Pre-2001 Retirees has a maximum of \$450 per month for 30 years of service.
2. Members with retirement dates prior to January 1, 2001 receive an additional monthly benefit of \$15 per full year of service completed with FCERA.
3. The benefit will be provided to beneficiaries with continuances in the same proportion as the continuance election. For example, an eligible spouse who is entitled to a continuance under the unmodified option would receive 60% of the supplemental benefit. An eligible beneficiary of a retiree who elected option 2 or 3 modified allowance would receive 100% or 50% respectively, depending on the election taken by the retiree.
4. Any person who was in the retiree payroll, including alternate payees (subject to the provisions of DROs, where applicable), prior to January 1, 2001 is eligible for the Supplemental Benefit for Pre-2001 Retirees.
5. There are exceptions to these rules that must be handled manually.

#### 3.5.2 Currently Used Forms and Reports

None

### 3.6 Data Points

There are no data interfaces involved in this process.


## 4 Analysis & Recommendation

Recommendations regarding the administration of Supplemental Benefit for Pre2001 Retirees involve automation and the ability of a PAS to accommodate special benefits such as this in the future. FCERA should expect a PAS to have a means to add new special benefits without vendor involvement or reprogramming the PAS.


## 5 Requirements

The table below lists the formal requirements for processing the Supplemental Benefit for Pre-2001 Retirees.

ReqID	Process	Requirement details	Priority
514.001	Supplemental Benefit for Pre-2001	The PAS will provide functionality to administer the Supplemental Benefit for Pre2001 retirees and others eligible	1

	<b>FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION</b>	<b>FCERA-PAS-REQ-514</b>
	<b>Project: PENSION ADMINISTRATION SYSTEM</b>	
	<b>Supplemental Benefit for Pre-2001 Retirees</b>	

<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
	Retirees	for the benefit.	
514.002	Supplemental Benefit for Pre-2001 Retirees	The PAS will provide the capability to identify persons eligible to receive the Supplemental Benefit Pre2001. All persons and their eligible beneficiaries who were in the retiree payroll, including alternate payees (subject to the provisions of DROs, where applicable), prior to January 1, 2001 are eligible for the Supplemental Benefit for Pre-2001 Retirees.	2
514.003	Supplemental Benefit for Pre-2001 Retirees	For those persons eligible, the PAS will calculate the supplemental benefit as \$15.00 per full year completed with FCERA, up to the maximum of \$450 for 30 full years with FCERA (subject to the provisions of DROs, where applicable).	2
514.004	Supplemental Benefit for Pre-2001 Retirees	The PAS will apply the benefit to beneficiaries with continuances, both those in payroll prior to January 2001 and those first going into payroll after January 2001 in the same proportion as the continuance election. For example, an eligible spouse who is entitled to a continuance under the unmodified option would receive 60% of the supplemental benefit. An eligible beneficiary of a retiree who elected option 2 or 3 modified allowance would receive 100% or 50% respectively, depending on the election taken by the retiree (and subject to the provisions of DROs, where applicable).	2
514.005	Supplemental Benefit for Pre-2001 Retirees	The PAS will provide the capability to manually override eligibility for the Supplemental Benefit for Pre2001 Retirees.	2
514.006	Supplemental Benefit for Pre-2001 Retirees	The PAS will provide the capability to manually override the calculation for the Supplemental Benefit for Pre2001 Retirees.	2
514.007	Supplemental Benefit for Pre-2001 Retirees	The PAS will provide the capability to remove or modify the Supplemental Benefit for Pre2001 retirees in the future, if directed to do so.	2
514.008	Supplemental Benefit for Pre-2001 Retirees	The PAS will provide the capability to add/remove/change, calculate, and apply special case benefits that may arise in the future.	1

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-515
	Project: PENSION ADMINISTRATION SYSTEM	
	IRC415b Calculation and Processing	

## 4.4.515 IRC 415b Calculations and Processing

### 1 Overview

The primary objective of the IRC 415b (Internal Revenue Code 415b) Processing is to ensure that the benefit entitlement for an individual retired member's pension paid by FCERA does not exceed the limit stipulated by IRS for the calendar year.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who have direct responsibility for serving the members.
Benefits Manager	The manager of all staff providing service to members. Retirement Coordinators report to the Benefits Manager.

### 3 Process Overview

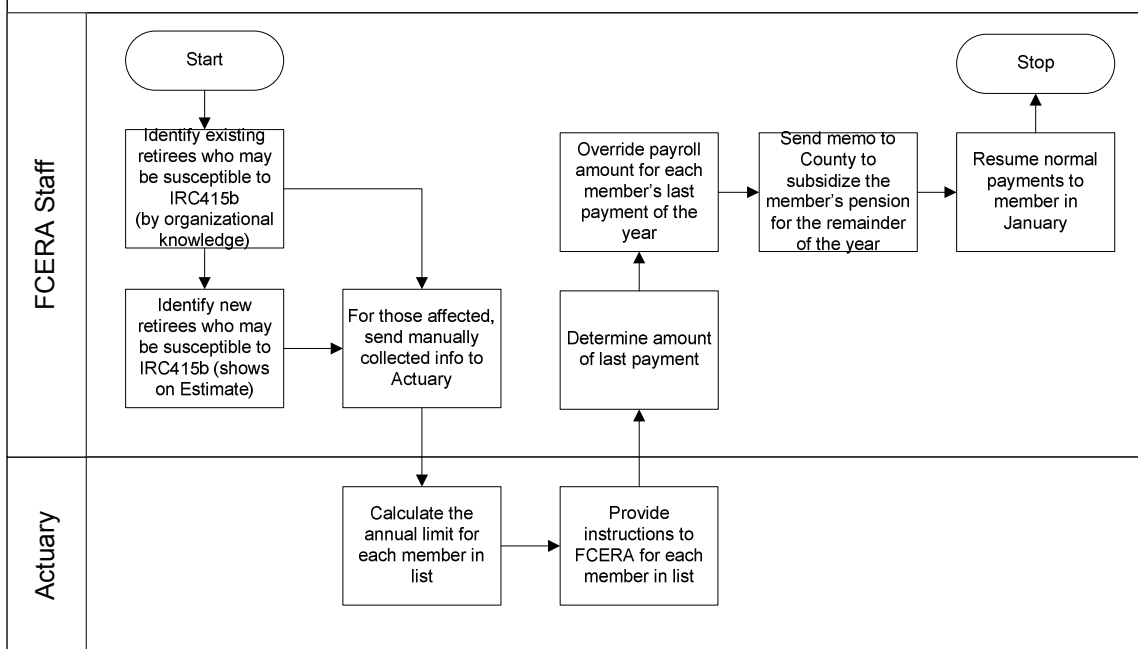
#### 3.1 Process Scope

The IRC415b process is recurring and begins each August when FCERA identifies those people who previously were impacted by the limit. In addition, during the payroll processing of new retirees, the Retirement Coordinators compare the estimated annual benefit to the 415b table provided by the Actuaries each year. If any potential candidates are identified, their information is compiled and forwarded to the actuaries for a calculation.

The process ends when the County has been notified to begin subsidizing payments to retirees who are limited by IRC415b.


#### 3.2 Process Flow

## IRC 415B Processing



### 3.3 Process Steps


1. FCERA identifies the retirees who may be susceptible to IRC415b.
2. For new retirements, the Estimates indicate whether member is susceptible to IRC415b limitations now, or may be in the future
3. FCERA identifies existing retirees who are susceptible to IRC415b limitations using institutional knowledge. There is no formal process at this time.
4. For those members affected, FCERA provides to the actuary
  - a. Member's Calc Summary
  - b. Audit Trail of member's account
  - c. Member's taxable service credit purchases
  - d. Member's taxable contributions
5. Actuary provides to FCERA the calculated limit for each member susceptible to IRC415b, along with instructions.
6. FCERA determines the amount of last payment of the year for each member limited by IRC415b (the last payment could occur before December).
7. For each individual, FCERA manually overrides the normal payment amount with the amount for the last monthly payment of the year.

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-515
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	IRC415b Calculation and Processing	

8. FCERA stops further benefit payments for each individual limited by IRC415b
9. FCERA sends manually-prepared memos to the County and the member. The member's letter includes instruction on what needs to be done in order for the County to begin processing the payment. The County pays the difference in the member's pension for the partial month and the remainder of the calendar year.
10. In January, FCERA resumes normal payments for those individuals whose payments were stopped in the prior year under IRC415b limitations. There are no memos needed to the County to stop the County's subsidy of the payments.

### 3.4 Areas of Concern

1. FCERA would like to set a threshold, say 70% of the IRC415b limitation, so that FCERA can pro-actively identify members who are approaching the IRC415b limitation.
2. FCERA would like a report that can be run a report at any time to identify those members who may exceed the IRC415b limitation. The report will contain those members who have achieved or exceeded the threshold, and include payments to alternate payees who are linked to the member.
3. The PAS will stop payments automatically for members who have exceeded the threshold. FCERA will manually determine the amount of the final payment for the year. The PAS will resume the normal payment amount automatically in January of the new year.
4. The FCERA threshold will be stored in the PAS and will be editable by non-technical FCERA staff having the proper permissions to do so.
5. The dollar amount of the IRC415b limitation will be stored in the PAS and will be editable by non-technical FCERA staff having the proper permissions to do so.
6. The PAS must be able to provide for exceptions to the IRC415b limitations, such as for Safety members.
7. Memos to the County and the individuals are prepared manually when the payments have been limited by IRC415b. FCERA would like the PAS to prepare these letters (nice to have).
8. Currently, there are less than ten FCERA members who are limited by IRC415b. FCERA does not require the PAS to provide full automation to calculate payment amounts when the IRC415b limitation is invoked. FCERA does expect the PAS to support IRC415b enforcement by providing:
  - a. reports(s) to identify FCERA members affected by IRC415b and who have crossed the FCERA- specified IRC415b threshold
  - b. the information needed by the actuaries, who will issue instructions to FCERA
  - c. an indication on the Estimate when the annual benefit may be subject to IRC415b limitations

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-515
	Project: PENSION ADMINISTRATION SYSTEM	
	IRC415b Calculation and Processing	

- d. the necessary manual overrides to change the amount of the last monthly payment when a member is about to exceed the IRC415b limitation
- e. the capability to issue instructions to the Bank when payments need to be stopped/resumed as a result of IRC415b
- f. as a lower-priority expectation, the automated capability to generate a letter to the County and the member when the County subsidy is to start.

### 3.5 Key Business Rules

1. Until the date of January 1, 1990 there was no IRC415b limitation. Those who were members prior to this date were grandfathered until such time as the FCERA benefit plan changes. On January 1, 2002 the FCERA benefit plan changed to a higher amount and those members who were once grandfathered are now subject to IRC415b limitations for part of their benefits.
2. If the IRS discovers, through 1099R reporting, that FCERA has paid retirees more than IRC415b allows, FCERA can lose its tax-exempt status and the member will be liable for taxes on the entire accrued benefit. Penalties are severe.
3. The IRC415b limitation applies to the annual amount paid to the member in a year combined with any payments made to alternate payees on behalf of the member; this total might not be the amount paid directly to the individual member. For example, if there are alternate payees resulting from a divorce, the sum of **all** payments from the member's benefit is the amount that is limited. The member may see his payment from FCERA being stopped due to IRC415b, yet the amount the member has received may not be close to the IRC415b annual limit.
4. Payment amounts of \$0 cannot be sent to the Bank. Members whose payment amounts are \$0 will be excluded from the payroll instructions sent to the Bank for that period.
5. The specific dollar amount of the IRC415b limitation is updated annually, indexed for inflation.


#### 3.5.1 Currently Used Forms and Reports

Letter to County when limitation has been reached and County subsidy is to start.

Letter to the member when limitation has been reached and County subsidy is to start.

### 3.6 Data Points

Spreadsheets containing data to Actuary.

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-515
	Project: PENSION ADMINISTRATION SYSTEM	
	IRC415b Calculation and Processing	

## 4 Analysis and Recommendation

The administration of IRC415b is entirely a manual process at FCERA. There are only a few members at this time who are susceptible to the limits and the staff at FCERA knows who those members are. The calculations are determined by the Actuary.

Going forward, FCERA should expect the PAS to perform a few keys functions to aid in repeatable IRC415b administration:


- Reporting capability to first identify the members susceptible and then gather all available data to support the Actuary's work. While historical information is incomplete in PENSIONS – for example, purchases of service credit prior to FCERA implementing PENSIONS is not in PENSIONS -- FCERA will expect the new PAS to accommodate all data supporting IRC415b calculations going forward.
- The estimation process must be aware of IRC415b limits in effect and indicate on the estimate when a new retiree may approach the limit later in the year.
- Produce letters/memos to the County and member regarding the member's subsidy payments.
- Allow FCERA to issue a partial payment and then stop further payments from FCERA to the affected member(s) for the remainder of the year. Normal FCERA payments should resume automatically in January.
- Allow FCERA to change the IRS415b global ceiling amount as necessary.

As some pension organizations do IRS415b calculations internally, the PAS products under evaluation may have capability built-in. FCERA can explore those capabilities, albeit at a low priority. The higher priority with regards to IRC415b administration is the reliable, repeatable (i.e. auditable) identification of those affected.


## 5 Requirements

ReqID	Category	Item detail	Priority
515.001	IRC415B Processing	The PAS will provide the capability to identify existing members who are susceptible to IRC415b limitations in any given year.	1
515.002	IRC415B Processing	The PAS will provide the capability to indicate on the Retirement Estimate whether a new retiree may be susceptible to IRC415b limitations.	2
515.003	IRC415B Processing	<p>The PAS will provide the capability to generate a report for the Actuary for those members susceptible to IRC415b limitations, containing such information as listed below, along with other information that the Actuary may request. Note that some historical information may not be available.</p> <ul style="list-style-type: none"> <li>• Member's Calc Summary</li> <li>• Audit Trail of member's account</li> <li>• Member's already taxed service credit purchases</li> </ul>	2



	<b>FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION</b>	<b>FCERA-PAS-REQ-515</b>
	<b>Project: PENSION ADMINISTRATION SYSTEM</b>	
	<b>IRC415b Calculation and Processing</b>	

<b>ReqID</b>	<b>Category</b>	<b>Item detail</b>	<b>Priority</b>
		<ul style="list-style-type: none"> <li>• Member's already taxes contributions</li> <li>• Total Service Earned and purchased</li> <li>• Total Contributions by taxed and taxable, itemized as COLA and other contributions.</li> </ul>	
515.004	IRC415B Processing	The PAS will provide the information necessary for FCERA staff to determine the amount of the last payment of the year for each member limited by IRC415b.	2
515.005	IRC415B Processing	The PAS will provide a detailed listing of any missing information that would otherwise support IRC415b calculations.	2
515.006	IRC415B Processing	The PAS will provide the capability to capture and store all currently available data supporting IRC415b calculations.	2
515.007	IRC415B Processing	The PAS will provide the capability to override a member's regularly scheduled payment amount with the amount determined for the last payment of the year.	2
515.008	IRC415B Processing	The PAS will provide the capability to stop further scheduled payments through a specified date (December 31 by default) for each member limited by IRC415b.	2
515.009	IRC415B Processing	The PAS will provide the capability to resume regular payments automatically on specified date (January 31 by default) without further actions by FCERA staff.	2
515.010	IRC415B Processing	The PAS will provide the capability to exclude the member from retiree payroll files to the Bank once payments have been stopped due to the IRC415b limitation (the Bank cannot accept transactions of \$0 amount).	2
515.011	IRC415B Processing	The PAS will provide the capability to generate a letter to the member limited by IRC415b explaining the limitation and containing instructions on what needs to be done so the County can start the member's subsidy payments.	2
515.012	IRC415B Processing	The PAS will provide the capability to set, as a system parameter, a threshold percent of the IRC415b limitation such that FCERA can be pro-active in identifying members who may be limited by IRC415b.	2
515.013	IRC415B Processing	The PAS will provide the capability to generate a report at any time that identifies members who may have crossed a threshold toward IRC415b limitations.	2
515.014	IRC415B Processing	The PAS will provide the capability to set, as a system parameter, the current dollar value of IRC415b limitation. The amount can change each year and is provided by the Actuary.	2
515.015	IRC415B Processing	The PAS will provide the capability to set the current dollar value of the IRC415b limitation for each member susceptible, as well as globally for all members. The amount can change each year and is provided by the Actuary.	2
515.016	IRC415B Processing	The PAS will provide the capability for nontechnical staff with appropriate permissions to set system parameters relating to IRC415b.	2
515.017	IRC415B Processing	The PAS will provide the capability to accommodate exceptions to IRC415b, thereby excluding members meeting certain other criteria from the limitation of IRC415b.	2

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-700
	Project: PENSION ADMINISTRATION SYSTEM	
	Dissolution of Marriage	

## 4.4.700 Dissolution of Marriage

### 1 Overview

The primary objective of the Dissolution of Marriage process is to properly apportion pension benefits in the event of legal separation or the dissolution of marriage or domestic partnership.

FCERA strongly recommends that all domestic relations orders be submitted to FCERA for review before submission to court. Failure to do so may result in delays in obtaining retirement benefits.

Dissolution of Marriage processing at FCERA does not follow a standard process because the timing of critical events pertaining to the dissolution is largely outside of the control of FCERA.

Only upon a court order that outlines the benefits of both the member and ex-spouse can FCERA proceed with the processing of the calculation and apportionment of the benefit.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who are responsible for day-to-day administration of the retirement program. Retirement Coordinators serve members directly.
Courts	The official court under which the dissolution was decided.
Legal Counsel	FCERA's legal counsel

### 3 Current Process Overview

#### 3.1 Process Scope

The Dissolution of Marriage process begins when FCERA learns that the member is divorced or divorce proceedings have begun.

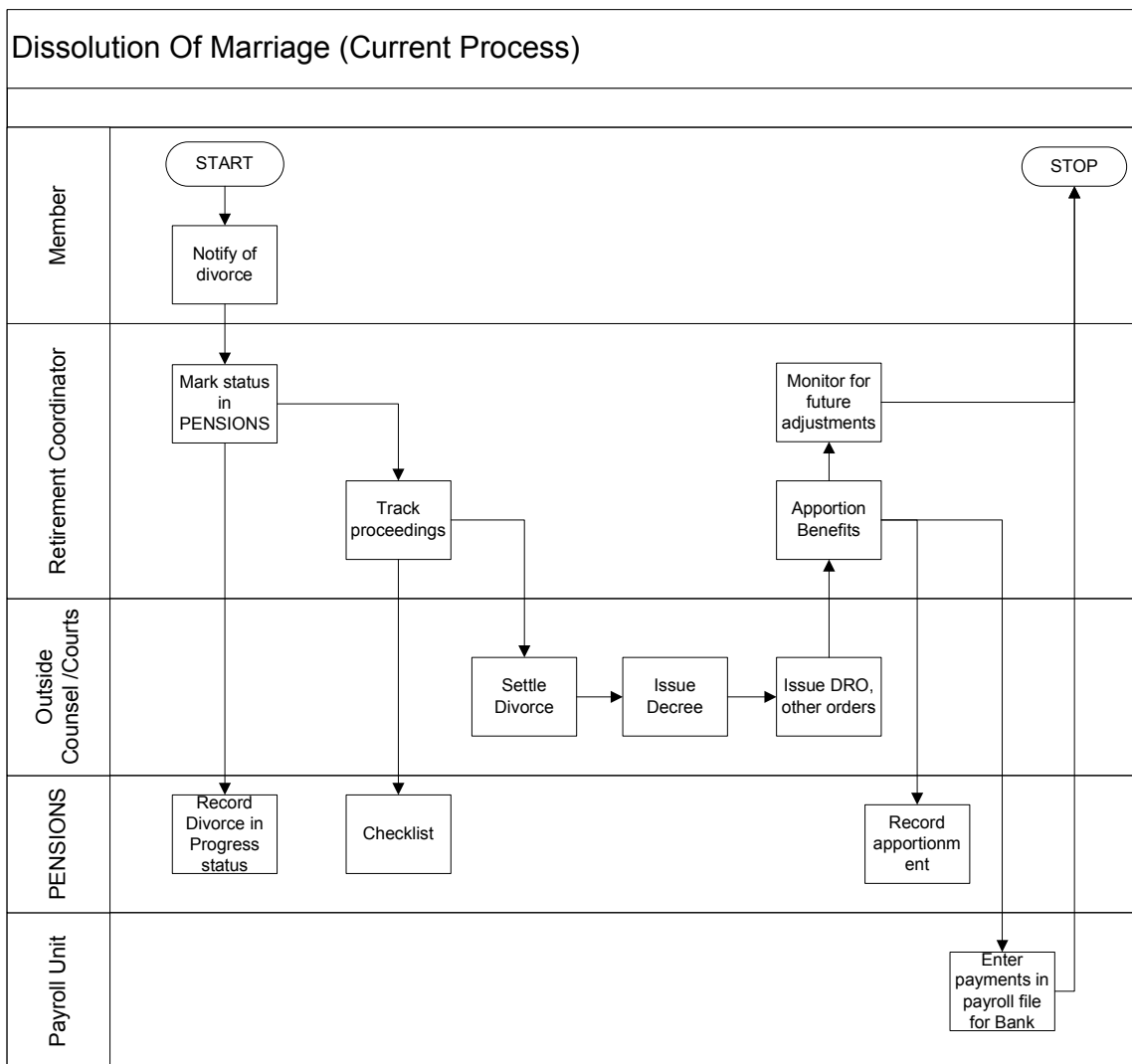
The process ends when the benefit in the member's pension has been apportioned according to court order.

Two primary areas of functionality fall within the scope of Dissolution of Marriage Processing:

- **Benefit Apportionment** – track the apportionment based on the parameters of the court order and calculate the benefit each party may receive upon retirement or withdrawal of contributions.


- **Divorce Tracking** – tracking a divorce and its status to ensure all steps have been taken in order to take action on a member's account. This includes the calendaring of events related to the DRO such as automatic benefit reduction. The tracking of communications is also a critical component of the Dissolution of Marriage process.

### 3.2 Process Flow



### 3.3 Process Steps

1. The member or non-member spouse contacts FCERA regarding dissolution proceedings.

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2. The member or non-member spouse requests FCERA to be joined as a party in the dissolution.
3. Retirement Coordinator at times will provides samples of language that FCERA needs in order to administer the funds to the member.
4. Court issues order of dissolution and apportioning of FCERA benefits.
5. Retirement Coordinator apportions pension benefits to parties named in dissolution, per instructions on the DRO at the time the member retires.

### **3.4 Areas of Concern**

Often, the first time FCERA learns of the divorce is upon receiving written notice of change of beneficiary removing the ex-spouse. The change of beneficiary will trigger a letter to the member to confirm the change.

Members often do not report divorce proceeding promptly to FCERA.

PENSIONS provides a checklist to help FCERA administer the divorce process. Although most of the DRO process falls outside the scope of work that would be done directly with a Pension Administration System (PAS), the implementation of a new PAS should greatly enhance the support for the tasks that fall within the scope of Dissolution of Marriage processing.


DROs can contain provisions that are difficult to automate and must be monitored for future action. For example, one DRO provides that all the cost of living adjustments for the entire benefit goes to one party, another DRO provides that the total cost of living adjustment be apportioned be the parties, while another states that each party receives the cost of living adjustment on their portion of the benefit.

#### **3.4.1 Processing the apportionment**

1. The PAS will link all payees involved in the dissolution to the member's account. If the ex-spouse is also a member of FCERA, there will be a cross-reference in both directions. If the member had multiple divorce settlements, there will be multiple links to alternate payees.
2. The PAS will provide the capability to apply adjustments (i.e. COLA) as appropriate and applicable to the member's and non-member-spouse's benefits. Similarly, the PAS will allow FCERA to eliminate some components of the benefit from one or more parties (i.e., health benefits or COLA).

#### **3.4.2 Case Management**

1. The current method of tracking all communications using a checklist in PENSIONS is inefficient and inconsistent.

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2. The PAS will provide the capability to set reminders and a timing schedule for all communications, along with document management, checklists, and other tools to help administer dissolution orders.
3. The PAS will provide the capability to view a member's account and easily identify the status of the dissolution process
4. The PAS will provide the capability to store and review historical information on actions that were performed on member accounts (who did what and when) with regards to dissolution orders.

### **3.4.3 Flagging Member Accounts**

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1. The PAS will have the ability to prevent refunds or any type of FCERA benefit if a member's account is flagged with a pending dissolution.
2. The PAS will have a set of parameters that must be satisfied in order to process refunds or set up a benefit
3. In the case of dismissal, FCERA will get a 'stamped and filed' court document of dismissal.

### **3.4.4 Manual Overrides**

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1. Regardless of the rules that are built-in, the PAS will provide the capability to enter manual overrides.
2. No matter how specific the rules of a calculation are, it takes a retirement specialist to make judgment calls.

### **3.4.5 Joinder**


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1. FCERA requires Joinder only when the ex-spouse will receive benefit. Joinder is not needed when the benefit will go only to the original member.
2. In a basic divorce process, the divorce decree may state that the FCERA benefit is "sole and separate property" to be paid to the member.
3. When Joinder is required, a DRO issued by the court will explain how the benefit will be apportioned.

### **3.4.6 Decree**

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FCERA must always obtain a Decree of Divorce stating the marriage is dissolved. The Decree is a different instrument from a DRO, which states how the assets are to be divided. Sometimes a Decree is 'silent', meaning the Decree did not specifically mention FCERA and/or Retirement. County Counsel has recommended in such cases, the member is entitled to full retirement benefits.

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### 3.5 Key Business Rules

#### 3.5.1 Apportioning Pension Benefit


1. Retirement benefits earned during marriage are considered community property in the State of California. An order or judgment in dissolution is not enforceable against a pension plan unless the plan has been joined as a party to the proceeding. Therefore, FCERA requires that FCERA be joined as a party to marital dissolution proceedings.
2. FCERA must receive a 'stamped and filed' order specifying how the member's benefit is to be apportioned before FCERA will pay any benefits.
3. If the member is retired when FCERA becomes aware (usually via a Joinder from attorneys) of the dissolution or pending dissolution, FCERA is required to withhold 50% of the member's retirement benefit pending receipt of an executed domestic relations order that includes a description of the allocation of the community property interest of the member's retirement benefit. When FCERA receives the proper documents, the benefit will be adjusted retroactively to date specified on court documents.
4. If the member is going through dissolution at the time of retirement, payment of benefits will be delayed until FCERA receives a 'stamped and filed' domestic relations order that includes a description of the allocation of the community property interest of the member's retirement benefit.
5. FCERA does not establish separate accounts for members who go through marital dissolution.
6. No community property benefits will be paid to the non-member spouse until the member applies for and begins receiving retirement benefits.

#### 3.5.2 Critical Elements

1. The same rules that apply to dissolution of marriage also apply to dissolution of a domestic partnership (state registered partnerships or comparable only).
2. FCERA does not decide the apportionment of benefits in marital dissolution. Instead, FCERA must be able to accommodate any apportionment issued by the Courts on a DRO or other documents. For example, the DRO could order the member to choose an optional settlement (usually Option 4) that would provide a continuance to the ex-spouse upon death of the member at a pre-defined percentage or amount. FCERA needs to be able to enter dollars amounts, percentages, or possibly a combination as ordered by the DRO.
3. Disability benefits do not become subject to community property distribution until normal retirement age is reached.

#### 3.5.3 Tax Exclusion

FCERA calculates the tax excluded portion of the benefit for members or non-members. The new PAS must be able to identify non-taxable dollars.

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### 3.5.4 Benefits paid upon death of the Alternate Payee

Refer to process *Retired Member Death Process* and process *Active Member Death Process*.

### 3.5.5 Refund of contributions in case of non-vested member undergoing divorce

If the member was not vested on the date of legal dissolution (i.e. at the time the marriage was terminated), the member's contributions and interest remain at FCERA until the member requests a refund after termination. At that time, the ex-spouse may be eligible to receive a portion of the contributions and interest.

### 3.5.6 Benefit in case of vested member undergoing divorce

If the member was vested at the time of the dissolution:

1. The member's contributions and interest remain at FCERA until the member requests a refund after termination or retires. At that time, the ex-spouse may be eligible to receive a portion of the refund or a portion the retirement benefit.
2. The monthly benefit is based on the normal retirement benefit calculations when the member elects to retire.

### 3.5.7 Service Credit Purchases

Service that was bought by the member during the marriage may be apportioned to both the member and the non-member upon dissolution, even if the actual time period that the member bought might have happened before the marriage. If the purchase was executed or initiated during the marriage, it may apply to both the member and the non-member. The exact apportionment will be determined by the Court and documented in the Stipulation. FCERA does not make the determination.

### 3.5.8 Currently Used Forms and Reports

Domestic Relations Order (DRO) including description of benefit allocation.

Joinders

Decree (also called Judgment)

Marital Settlement Agreement (MSA)


## 3.6 Data Points

There are no data interfaces required to support the Dissolution of Marriage process.

## 4 Analysis and Recommendation

By its nature, the Marital Dissolution process is not completely in FCERA's control. FCERA responds to notifications from the member as well as orders from courts and other officials. FCERA is responsible for ensuring retirement-related documents and



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correspondences are produced or received at the proper times, and appropriate actions are taken to support the divorce proceedings.

The recommendations for this process involve efficiencies in the form of


- Automated, context-aware checklists, reminders, tools, calendars
- Application of business rules with regard to required documents
- Application of business rules with regard to distributions and apportionments
- Electronic document management (EDMS)

## 5 Requirements


The table below lists the formal requirements for the Dissolution of Marriage process.

<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
700.001	Dissolution of Marriage	The PAS will provide the capability to assist FCERA in tracking the various administrative steps in processing a Dissolution of Marriage to completion.	1
700.002	Dissolution of Marriage	The PAS will provide the capability to apportion FCERA benefits as directed by legal order in a Dissolution of Marriage.	1
700.003	Dissolution of Marriage	The PAS will consider CA Registered Domestic Partnerships as equivalent to Marriage when applying business rules for Dissolution.	1
700.004	Dissolution of Marriage	The PAS will provide the capability to administer an unlimited number of dissolutions for a member.	1
700.005	Dissolution of Marriage	The PAS will provide the capability to link all payees involved in the dissolution to the member's account. If the ex-spouse is also a member of FCERA, there will be a cross-reference in both directions. If the member had multiple divorce settlements, there will be multiple links to alternate payees.	1
700.006	Dissolution of Marriage	The PAS will provide the capability to apply adjustments (i.e. COLA) to the member's benefits.	2
700.007	Dissolution of Marriage	The PAS will provide the capability to apply adjustments (i.e. COLA) to the non-member-spouse's benefits.	2
700.008	Dissolution of Marriage	The PAS will provide the capability to eliminate components of the benefit (i.e. COLA or health benefits) from the member's benefits.	2
700.009	Dissolution of Marriage	The PAS will provide the capability to eliminate components of the benefit (i.e. COLA or health benefits) from the non-member's benefits.	2
700.010	Dissolution of Marriage	The PAS will provide the capability to set reminders and a schedule for all Dissolutions communications.	2
700.011	Dissolution of Marriage	The PAS will provide the capability to set calendar events that will automatically takes actions stated in the DRO (i.e. reduction of benefit, etc).	2




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<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
700.012	Dissolution of Marriage	The PAS will provide the document management capability to help administer Dissolution orders.	2
700.013	Dissolution of Marriage	The PAS will provide checklists and other integrated tools to help administer dissolution orders.	2
700.014	Dissolution of Marriage	The PAS will provide the capability to easily identify the status of the dissolution process by viewing the member's account.	2
700.015	Dissolution of Marriage	The PAS will provide the capability to store and review historical information on actions that were performed on member accounts (who did what and when) with regards to dissolution orders.	2
700.016	Dissolution of Marriage	The PAS will prevent refunds and any type of FCERA benefit if a member's account is flagged with a pending dissolution.	2
700.017	Dissolution of Marriage	The PAS will provide a set of parameters that must be satisfied in order to process refunds or set up a benefit in conjunction with a Dissolution of Marriage.	2
700.018	Dissolution of Marriage	The PAS will require Joinder only when the ex-spouse will receive benefit. Joinder is not needed when the benefit will go only to the original member (as in a decree stating that the benefit is "sole and separate property" or when a decree is 'silent', meaning the Decree did not specifically mention FCERA and/or Retirement.)	3
700.019	Dissolution of Marriage	The PAS will provide the capability, through checklists and other tools, to ensure that FCERA always obtains a Decree of Divorce stating the marriage is dissolved. (The Decree is a different instrument from a DRO, which states how the assets are to be divided.)	2
700.020	Dissolution of Marriage	The PAS will provide the capability to withhold 50% of a retired member's retirement benefit pending receipt of an executed DRO that includes a description of the allocation of the community property interest of the member's retirement benefit.	2
700.021	Dissolution of Marriage	The PAS will provide the capability to adjust the benefit amount retroactively to the date specified on court documents.	2
700.022	Dissolution of Marriage	The PAS will provide the capability to administer the apportionment of benefits resulting from a Dissolution of Marriage without creating separate accounts for the non-member payee(s).	2
700.023	Dissolution of Marriage	The PAS will provide the capability to enforce the business rule that no community property benefits will be paid to the non-member spouse until the member applies for and begins receiving retirement benefits	2
700.024	Dissolution of Marriage	The PAS will provide the capability enter dollar amounts, percentages, and/ or a combination of percentage and dollars, as ordered by the DRO.	2
700.025	Dissolution of Marriage	The PAS will provide the capability to accommodate any apportionment issued by the Courts on a DRO or other documents. For example, the DRO could order the member to choose an optional settlement (usually Option 4) that would provide a continuance to the ex-spouse upon death of	2

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<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
		the member at a pre-defined percentage or amount.	
700.026	Dissolution of Marriage	The PAS will enforce the rule that Disability benefits do not become subject to community property distribution until normal retirement age is reached.	2
700.027	Dissolution of Marriage	The PAS will provide the capability to identify non-taxable portion of the retirement benefit and contributions for members and non-member payees.	2
700.028	Dissolution of Marriage	The PAS will allow service that was bought by the member during the marriage to be apportioned to both the member and the non-member upon dissolution, even if the actual time period that the member bought might have happened before the marriage. If the purchase was executed or initiated during the marriage, it may apply to both the member and the non-member. The exact apportionment will be determined by Court and documented in the Stipulation.	2
700.029	Dissolution of Marriage	Regardless of the rules that are built-in, the PAS will provide the capability to override the value of any field manually.	2

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	Accounting and Financial	

## 4.4.702 Accounting and Financial

### 1 Overview

The Accounting and Financial process is not one single process, per se. Rather, it is a collection of tasks supporting operations from the FCERA financials perspective. The current PENSIONS system supports these processes in various ways.

### 2 Roles

PAS Role Name	Definition
Accounting	Internal FCERA Accounting team
Retirement Coordinator	FCERA staff responsible for serving members
Bank	State Street Bank
Payroll Unit	A work group within FCERA that provide preparation and validation of retiree payroll information that is given to the Bank


### 3 Process Overview

#### 3.1 Process Scope

FCERA has a variety of Accounting and Financial processes that rely on information contained in PENSIONS. This document describes the following financial areas:

1. Employer and Employee contributions
2. Contribution Reconciliation
3. Reserve Balance Reports
4. Cash Management
5. General Ledger interface
6. Financial Statements
7. CAFR
8. Statistical section of CAFR (parts of it come from PENSIONS)

The paragraphs below describe the tasks, how the PENSIONS supports the completion of these tasks now, and how the future PAS is expected to support the tasks.

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### 3.2 Process Flow

There is no diagram required to illustrate this process.

### 3.3 Process Tasks

#### 3.3.1 Employer and Employee Contributions


1. FCERA collects contributions from the employers and employees. The table below lists the employers, pay frequency, and method of receiving payment data.

<b>Employer</b>	<b>Pay Frequency</b>	<b>Method</b>
County of Fresno (including Courts)	Biweekly	PSBiWeekly
Districts –Fresno Madera Agency on Aging	Biweekly	Manual
District-Clovis Veterans Memorial	Semi-monthly	Manual
District-Fresno Mosquito Abatement District	Monthly	Manual

2. Employee contributions are currently tracked using PENSIONS, while employer contributions are tracked outside PENSIONS. In a future PAS, both the Employer and Employee contributions will be tracked in the PAS. All the necessary information is contained in the County payroll import (PSBiweekly) to perform this function. PENSIONS is not currently trusted to perform the Employer contribution tracking.
3. Currently, there is no employer “matching” to employee contributions. The employer’s contributions to FCERA are not credited to the individual member/employee’s account.
4. Employee and Employer Contributions are audited by outside auditors. The PAS must provide reliable tools to support reconciliation and audit of contributions.

#### 3.3.2 Contribution Reconciliation

1. In general, contribution reconciliation (actual posting vs expected posting) is done outside PENSIONS. PENSIONS provides an Activity Report containing information to aid in the reconciliation process. In the future, reconciliation of member contributions will be performed using the PAS.
2. To support Contribution Reconciliation, the PAS will support reporting of Compensation Earnable, by FCERA-defined period (pay period, annual) for every member.

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3. The PAS will support reporting of estimated employee and employer contributions due, which is equal to compensation earnable multiplied by a FCERA-specified contribution rate. The contribution rates can change annually or at any time throughout the year.

### 3.3.3 Payment Stops/reissues

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1. Currently, retiree payments are stopped using a stop payment form on the Bank portal. To reissue a payment, the Payroll Unit must have a signed affidavit from the retiree. Account Clerks in the payroll unit forward the affidavit to the Supervising Accountant for processing. Stop and Reissues are initiated online through the Bank's PlusWeb system.
2. In the future PAS, the Retirement Coordinator will record details of the void/reissue through the PAS, and take the appropriate action (perhaps immediate) at the Bank to stop payments, with appropriate notification to the Payroll Unit and Accounting Unit.
3. FCERA can originate a payment stop at any time. Payment stops due to lost checks require a signed Affidavit from the payee. To clarify, lump-sum and ongoing installment payments are stopped and then reissued after a signed affidavit is received. Both lump sum and installment payments are reissued using the Bank's PlusWeb system. Installment payments are stopped when a death is confirmed, not when reported.

### 3.3.4 Reserve Balance Accounting

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1. Reserve balances are currently tracked outside the PAS. In the future, FCERA expects most Reserve Balances to be tracked using the PAS, as information regarding Reserve Balances is contained in the County payroll import (PSBiweekly). However, some aspects of Reserve Balance (undistributed earnings, etc) will continue to be tracked in the financial system.

The Reserve Balance Transaction Report will report the member transactions that affect the active and retired reserves. All service retirements, recalculated service retirements, and conversions of service retirements to disability retirements will be reported. Each member will be listed, along with the contributions that are moved between the reserves. The report will be capable of showing adjustments and conversions as Net, and/or Gross Old and Gross New amounts. (Note that Net is the figure that will be imported to the NAV Financials system.)

### 3.3.5 Death Verification

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1. FCERA uses Small World Solutions (SWS) for death audit services. This service helps to identify deceased members that FCERA may not have learned about.
2. The PAS will produce extract file(s) that FCERA will send to SWS to support death verification.

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- The data from SWS will be given to the staff responsible for death benefits for further research, when deemed necessary.

### 3.3.6 Cash Receipts

- Cash receipts related to service purchases, underpayments, and/or repayments must be recorded in the PAS. These transactions can be taxed, taxable, or both, and must be recorded by tier, classification, benefit type and tax status. As a result of the monthly import to FCERA GL of Peoplesoft Financials, these transactions will already be coded to a clearing account in the GL (cash receipts will be part of the mapped transactions). When the contribution transactions are updated in the PAS, a journal entry will be created to zero out the clearing account and post the contributions to the proper revenue accounts in GL. The journal entry will post to the GL via an interface from PAS to GL.
- The transactions may be pushed to the GL monthly via a PAS to GL interface. However, this information is currently coming from the County. Data from the two sources will be merged in a staging area where any redundancies and data quality issues will be resolved prior to posting to GL.
- Reconciliation of cash deposits will be performed by comparing a report from NAV to a report from PENSIONS.

### 3.3.7 Financial Statements / CAFR

- The PAS will need to support the process of compiling the CAFR by providing statistical reports on benefits, payees, and membership. Specific CAFR reporting requirements will be provided during the course of the project.

### 3.3.8 General Ledger Extract


- The PAS must allow the creation of an extract file(s) containing member transaction data (for example: contribution balances, lump sums, annuity, COL, etc) for posting to the GL. Currently, this process is performed manually each monthly using Excel spreadsheets. Automating data exchange from PAS to GL would be a welcome improvement.
- The extract file supporting GL Integration is documented as a separate process.

## 3.4 Areas of Concern

The role of the PAS in FCERA financial processes will change considerably over what it is today at FCERA. Generally, the PAS will become the originating source of payment transactions, rather than receiving the transactions from the Bank when payments have been made.

Because Stops/Reissues need to be handled immediately, they may need to be processed outside of the normal monthly or biweekly payment cycles.

## 3.5 Key Business Rules

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### 3.5.1 Currently Used Forms and Reports

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Reserve Balance Transaction Report

Activity Report

## 3.6 Data Points

### 3.6.1 Chart of Accounts

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The Chart of Accounts is documented in the GL Integration document.

### 3.6.2 Death Verification File

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The data fields needed for the file to be sent to Small World Solutions are as follows:

Record ID – currently populates to SSN field

Group – FCERA Location Code (no translation for Small World Solutions is necessary).

SSN

Last Name

First Name


Date of Birth

## 4 Analysis and Recommendation

The recommendations for Accounting and Financial processing focus on leveraging structured interface files everywhere possible, and using the PAS as a single-source system of record for PAS information.

Making greater use of the information in the PSBiweekly data file would help Reserve Balance accounting. The PAS should be able to import this information, whereas PENSIONS does not.

The details of the interfaces to the Bank will be examined more closely when creating implementation requirements so that the interfaces are regular and repeatable. Some procedures, such as stops and reissues, may need to be handled directly at the bank rather than waiting for the next scheduled interface file, as a daily transmit of payment instructions is impractical. The PAS could be updated manually with stop/reissue information, but the immediate stop execution may have to be done on the Bank portal (or other means).


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## 5 Requirements


The table below lists the formal requirements for Accounting and Financial processing as it relates to the PAS.

ReqID	Process	Requirement details	Priority
702.001	Accounting & Financials	The PAS will provide the capability to track contributions from Plan Sponsors ("Employers").	2
702.002	Accounting & Financials	The PAS will provide the capability to track contributions from members ("Employees").	1
702.003	Accounting & Financials	The PAS will not credit Plan Sponsor's ("Employer") contributions to the members ("Employee") accounts.	1
702.004	Accounting & Financials	The PAS will provide tools to support reconciliation and auditing of contributions.	2
702.005	Accounting & Financials	The PAS will provide a report containing Compensation Earnable, by FCERA-defined period (pay period, annual) for every member.	2
702.006	Accounting & Financials	The PAS will provide the capability to report estimated employee and employer contributions due, which is equal to Compensation Earnable multiplied by a FCERA-specified contribution rate. The contribution rates can change annually or at any time throughout the year.	2
702.007	Accounting & Financials	The PAS will provide the capability to process void/reissued payments.	2
702.008	Accounting & Financials	The PAS will require an affidavit from the payee to issue a payment stop due to a lost check.	2
702.009	Accounting & Financials	The PAS will provide the capability to track Reserve Balances using information contained in the County Biweekly payroll and supplemented by manual entries for the districts or other plan sponsors.	2
702.010	Accounting & Financials	The PAS will produce the Reserve Balance Transaction Report containing the member transactions that affect the active and retired reserves. All service retirements, recalculated service retirements, and conversions of service retirements to disability retirements will be on the report. Each member will be listed, along with the contributions that are moved between the reserves, including adjustments. The report will be capable of showing adjustments and conversions as Net, and/or Gross Old and Gross New amounts.	2
702.011	Accounting & Financials	<p>The PAS will produce data file(s) that FCERA will send to Small World Solutions to support death verification. The data fields needed for the file to be sent to Small World Solutions are as follows:</p> <p>Record ID – currently populates to SSN since we have designated a use</p> <p>Group – FCERA Location Code (no translation for Small World Solutions is necessary).</p> <p>SSN</p> <p>Last Name</p> <p>First Name</p> <p>Date of Birth</p>	2
702.012	Accounting & Financials	The PAS will provide the capability to record cash receipts related to service purchases, underpayments, and/or repayments as taxed, taxable, and/or both.	2



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<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
702.013	Accounting & Financials	The PAS will provide the capability to record cash receipts related to service purchases, underpayments, and/or repayments by tier, classification, benefit type, and tax status.	2
702.014	Accounting & Financials	The PAS will support the process of compiling the CAFR by providing statistical reports on benefits and payees.	2
702.015	Accounting & Financials	The PAS will provide the capability to create of a file(s) containing member transaction data for posting to the GL.	2

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	Board Reporting	

## 4.4.703 Board Reporting

### 1 Overview

FCERA conducts regular Board Meetings on the first and third Wednesdays of the month, generally. As part of the Board Agenda for the first meeting of the month, FCERA provides a consent agenda containing a list of all members affecting the next payroll: new retirements and continuances, and new deaths. Members who have elected deferred retirement are also included in the list.

This document will provide a general overview of the current process and business rules and will also list possible future reports that the PAS should be able to generate.

An example of a Board Report is included at the end of this document.

### 2 Roles


PAS Role Name	Definition
Board of Retirement	The executive decision-making body for FCERA, comprised of FCERA's executive Retirement Administrator plus individuals from outside FCERA
Retirement Coordinator	The staff members in FCERA who are responsible for serving members. Retirement Coordinators are the day-to-day users of the PAS.
Administrative Secretary	Secretary to the management team at FCERA

### 3 Process Overview

#### 3.1 Process Scope

The scope of the board reporting process, with regards to the PAS, is limited to generating a monthly report of activity that will cause new payroll payments (new retirements and survivors' continuances) or stop existing payroll payments (deaths) for the respective month. Members who have elected deferred status are also included in the list. The items presented to the Board include Name, Department, and Years of Service, grouped by Retired, Deceased, Deferred.

Note: This file is also used to provide REFCO with addresses of potential members. However, only those that have elected to have their address information provided to REFCO have the address listed.

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### 3.2 Process Flow

No diagram required, as this is just a scheduled reporting process.

### 3.3 Process Steps


Board meetings are held on the first and third Wednesday every month, generally. . Retiree data is provided only at the first meeting of the month. The Board Agenda is due six calendar days prior to the scheduled meeting.

After a member applies for retirement, the Retirement Coordinator processes the application and the Bank mails/deposits the first paycheck on the last business day of the month. In order to make sure that the appropriate members make it onto the consent agenda for the next Board meeting, the following process steps are taken:

1. Each individual Retirement Coordinator keeps track of all regular retirements, survivors' continuances and deaths for their respective members, and also updates the list for the Board Agenda in a shared Excel sheet on the shared drive.
2. On the Tuesday before the Board Agenda due date, the Payroll Lead sends an email reminder to all other Retirement Coordinators to inform them that the list will be given to the Retirement Coordinator Lead by the end of the business day.
3. The Retirement Coordinators make any changes necessary. Some Coordinators send a confirmation back to the Retirement Coordinator Lead confirming they are done with their list (this is not consistent, i.e. not every Retirement Coordinator sends a confirmation). By the end of the day the Retirement Coordinator Lead assumes that every Retirement Coordinator responsible for updating the master list has made the required entries into the master sheet.
4. At the end of the Tuesday before the Board Agenda due date, the Retirement Coordinator Lead reviews the master Excel sheet and final list and ensures that all required fields are populated correctly. If any changes are necessary, the Retirement Coordinator Lead makes them directly.
5. Once the Master list is finalized, the Benefits Payroll Lead forwards the final report to the Retirement Supervisor for final review at the end of day of the Wednesday before the Board agenda item due date.
6. After final review of the report by the Retirement Supervisor, the list is forwarded to the Administrative Secretary on the Thursday preceding the Board meeting to include it in the final Board Agenda Packet.

Finally, in the Board meeting, the Board report is presented as a consent agenda item and the board formally approves all members on the report

### 3.4 Areas of Concern


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1. Members are not required to make an immediate election when they stop working for the County. It is possible that members will not return their election to FCERA in a timely manner, resulting in some deferred retirements appearing on the Board's Consent Agenda many months after their actual effective date.

The PAS will provide for a way to record two important dates supporting this process: the original effective date of termination, as well as the actual date the Disposition Form was received and made effective in the system by the Retirement Coordinator. This election date combined with the deferred retirement status will allow the automation of the report. Additionally, the new PAS will report any members in suspense status and their corresponding effective date of termination. FCERA staff will use this report to follow up with members to ensure that elections are submitted in a more timely fashion

With regards to reciprocal elections, FCERA needs to know either the date the member enrolled in the subsequent retirement system or the date of termination in the prior system.

2. The current List of New Retirements report contains the following columns. This content will continue to be included in a report generated by the new PAS:
  - a. First Name and Middle Initial
  - b. Last Name
  - c. Classification: General or Safety
  - d. Total Service
  - e. Department
  - f. Effective date of retirement, or death
  - g. Address (if member has agreed to share the address with the Retiree's Association)
  - h. If death, specify beneficiary continuance or no beneficiary continuance
3. FCERA might decide to provide additional quarterly reports to the Board alongside the quarterly financial report. These reports, generated by the PAS, will be aimed at providing the Board with more insights into some of the operational areas of the organization. Examples of these reports include the count of members by type for the respective period (active, retired, deferred, etc.), or a report showing trends in retirements for this period vs. last period or last year's period. These reports are similar to FCERA's routine status reporting, both internally and to the Board.
4. The manual tracking is error-prone and labor-intensive to administer. FCERA hopes that with a new PAS, the data can be maintained in the PAS and a report can be produced just prior to the Administrative Secretary needing to prepare the Board Agenda.

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5. All changes of member status will be time-stamped and the history preserved. There are situations where the date of the most recent change of status is not the effective date of retirement.

### 3.5 Key Business Rules

1. The following rules apply for **deferred members** to make it onto the respective month's list:
  - a. Once a member is reported in a "suspense" status, the respective Retirement Coordinator will send the "Disposition of separated member's retirement contributions" form (Disposition Form) to the member requesting that the member elect how to handle their contributions and interest – e.g. take a refund, defer retirement, etc.
  - b. Members might not submit their election for refund or deferred retirement in a timely manner. As long as the Disposition Form has not been returned to FCERA, members are considered in "suspense" status. FCERA has no means of knowing whether a member will elect reciprocity, defer retirement or take a refund, thus the date of the suspended state cannot be used for determining whether a member should appear on the Board Agenda for the month. It is possible that a member will submit the Disposition Form several months after the member has stopped working for a Plan Sponsor.

Retirement Coordinator adds a member to the Board Agenda list when the Disposition Form is received with the "deferred" option selected. The suspense date then becomes the effective date of the deferred retirement. The member is added to the next month's consent agenda in the "deferred retirement" section. The new PAS must provide the capability to record the date when the election was received from the member in addition to the suspended date. Therefore the criteria for selecting members for the **deferred retirement list** for the respective month's board agenda are:

- i. Member has not been reported in deferred retirement on a previous Board Agenda
  - ii. Member has submitted the Disposition and selected the "defer retirement option"
  - iii. Member's status has been changed to "deferred retirement" in PENSIONS
2. The following rules apply for **Regular Retirements** for the Board Agenda for the respective month's list:
  - a. Members have already been set up for retirement in PENSIONS.
  - b. Members have a first payment date that falls within the respective Board Agenda month (or before, if the member has not been reported previously as retired).
3. The following rules apply for **Survivors' Continuances** for the Board Agenda for the respective month's list:
  - a. Members have already been set up for a continuance in PENSIONS

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- b. Members have a first payment date that falls within the respective Board Agenda month (or before, if the member has not been reported previously as retired).
4. The pay date for each month's payroll is always the last business day of the current month.
5. The Report is presented in the following order
  - a. Regular Retirements
  - b. Deferred Retirements
  - c. Survivors' Continuances


## 4 Analysis and Recommendation

As with most other processes that rely on data reporting, the recommendation for this process involves having a central data system of record from which reports of any purpose can be generated. The PAS would be that system. Collecting information on New Retirements to include in the Board agenda should be a trivial exercise taking, at most, a few hours.


## 5 Requirements

The table below lists the formal requirements for Board Reporting.

<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
703.001	Board Reporting	The PAS, will provide the capability to automate a monthly report of activity that will cause new payroll payments (new retirements and survivors' continuances) or stop existing payroll payments (deaths) for the respective month.	1
703.002	Board Reporting	The PAS will provide the capability to record two important dates supporting the Board Reporting process: the original effective date of termination and the actual date the Disposition Form was received and made effective in the system.	2
703.003	Board Reporting	The new PAS will provide the capability to report any members in suspense status and their corresponding effective date of termination. FCERA staff will use this report to follow up with members to ensure that elections are submitted in a more timely fashion.	2
703.004	Board Reporting	<p>The List of New Retirements report to the Board will contain the following columns:</p> <ol style="list-style-type: none"> <li>a. First Name and Middle Initial</li> <li>b. Last Name</li> <li>c. Classification: General or Safety</li> <li>d. Total Service</li> </ol>	2

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ReqID	Process	Requirement details	Priority
		e. Department f. Effective date of retirement, or death g. Address (if member has agreed to share the address with the Retiree's Association) h. If death, specify beneficiary continuance or no beneficiary continuance	
703.005	Board Reporting	The PAS will maintain the data required to generate the New Retirements Report to the Board such that the report can be produced just prior to the Administrative Secretary needing to prepare the Board Agenda.	2
703.006	Board Reporting	The PAS will timestamp all changes of member status and preserve the history. (There are situations where the date of the most recent change of status is not the effective date of retirement.)	2
703.007	Board Reporting	The PAS will maintain the member status as 'suspense' as long as the Disposition Form has not been returned to FCERA.	2
703.008	Board Reporting	The new PAS must provide the capability to record the date on which the election was received from the member in addition to the suspended date. When the Disposition Form is received with the "deferred" option selected, the suspense date then becomes the effective date of the deferred retirement. The member is added to the next month's consent agenda in the "deferred retirement" section.	2
703.009	Board Reporting	The criteria for selecting members for the <b>deferred retirement list</b> for the respective month's board agenda are: a. Member has not been reported in deferred retirement on a previous Board Agenda b. Member has submitted the Disposition and selected the "defer retirement option" c. Member's status has been changed to "deferred retirement" in PENSIONS.	2
703.010	Board Reporting	The following rules apply for <b>Regular Retirements</b> for the Board Agenda for the respective month's list: a. Members have already been set up for retirement in PENSIONS. b. Members have a first payment date that falls within the respective Board Agenda month (or before, if the member has not been reported previously as retired).	2
703.011	Board Reporting	The following rules apply for <b>Survivors' Continuances</b> for the Board Agenda for the respective month's list: a. Members have already been set up for a continuance in PENSIONS b. Members have a first payment date that falls within the respective Board Agenda month (or before, if the member has not been reported previously as retired).	2

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## 6 Appendices

### 6.1 Example of Board Report

# BOARD OF RETIREMENT FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION

Wednesday November 3, 2010 – 8:30 AM

FCERA Boardroom  
1111 H Street  
Fresno, CA 93721

## AGENDA


1. Call to Order
2. Pledge of Allegiance
3. Public Presentations – Any member of the public may address the Retirement Board on any topic within the jurisdiction of the Retirement Board. Individual presentations shall be limited to five (5) minutes. The Retirement Board is generally legally prohibited from taking any action on presentations until a subsequent meeting.

**Consent Agenda/Opportunity for Public Comment:** All items listed with an asterisk (\*) are considered to be routine and non-controversial by staff and will be approved by one motion if no member of the Board or public wishes to comment or ask questions. If comment or discussion is desired by anyone, the item will be removed from the consent agenda and will be considered in the listed sequence with an opportunity for any member of the public to address the Board concerning the item before action is taken. Staff recommendations are shown in caps after each item.

### \*4. Retirements – RECEIVE AND FILE; APPROVE

Susan L. Abbott	Superior Court	23.64
Marsha G. Allen	County Clerk/Registrar of Voters	16.09
Paul Avalos	Public Health, Deferred	5.90
Pamela Bell-Armstrong	Behavioral Health	20.21
Sylvia Brito	Personnel Services	21.15
Patricia A. Busch	Superior Court, Deferred	21.83
Caren L. Case	General Services, Deferred	6.00



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Elaine T. Chan	Administrative Office	23.07
I.G. Cole	General Services	24.29
Eddie Dingler	Sheriff, Deferred	2.89
Rosalina Esquivel	Department of Social Services	20.46
Harold Hass	ITSD	19.58
Yolanda F. Haxton	Public Health, Deferred	13.87
Jeannie Henry	County Counsel	20.54
Carolyn L. Hernandez	Department of Social Services	18.43
Virginia C. Landeros	Department of Social Services	21.20
James H. Lashbrook	Superior Court	17.51
Charlene Ledbetter	FMAAA, Deferred	7.59
Luis M. Leon	Department of Social Services	19.09
Karen P. Logue	Probation, Deferred	15.57
Steven L. Martinez	Personnel Services, Deferred	14.66

Jacklyn Meador	Superior Court	21.27
Donald L. McClellan	Department of Social Services	33.66
Ronald L. McNary	General Services	20.62
Debbie Olivares	Superior Court	19.39
Maria L. Ramos	Superior Court	17.03
Greg D. Rodgers	Sheriff, Deferred	16.02
Virginia Rubalcaba	Dept. of Social Svs., Deferred	14.29
Ruben Ruiz	Sheriff	15.00
Kenneth D. Smith	Child Support Svs., Deferred	6.03
Boun Somphong	Dept. of Social Svs., Deferred	10.52
Michael Tucibat	Behavioral Health, Deferred	7.58
Jorge A. Urbina	Behavioral Health	9.91
Leslie G. Van Meter	Sheriff	31.78
Richard X. Verdugo	Sheriff	27.02
Larry D. Yenck	Behavioral Health, Deferred	18.75


**\*5. Disability Retirements – RECEIVE AND FILE; APPROVE**

Dennis Folks	Public Works & Planning	5.42
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**\*6. Deferred Retirements – RECEIVE AND FILE; APPROVE**

Michael J. Aed	Public Defender	7.42
Patricia Phillips	District Attorney	15.18
Timothy J. Lewis	Probation	4.27

**\*7. Public Records Requests and/or Retirement Related Correspondence from Brad Branan, The Fresno Bee; Christopher Smith, Mandate Wire; Tom Lightvoet, Mercer; Greg Cassano, First Eagle Investment**

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Management, LLC; Gary Anderson, FCERA Member; Keith May, Amundi IA USA; and Kristen Johnson, FCERA Member – RECEIVE AND FILE

**\*8. Educational Reading Materials – RECEIVE AND FILE**

General


- October 12, 2010 Pensions & Investments article – *Studies show grim outlook for public plans*
- October 15, 2010 Huffington Post article – *Pension Benefits For Current Employees Could Face Legal Challenges*
- October 18, 2010 Asset International article – *Mercer Reevaluates DB Investment Consulting Work for US Public Sector Plans*
- October 18, 2010 Pensions & Investments article – *Worldwide equity boom boosts managers' beta*
- October 18, 2010 Pensions & Investments article – *Mercer creates \$240 billion vacuum*
- October 19, 2010 Asset International article – *Milken Institute Says California's Public Pensions Need Overhaul to Address Funding Shortfalls*
- October 20, 2010 Pensions & Investments article – *Illinois State Employees cuts return assumption to 7.75%*
- October 21, 2010 The Press Democrat article – *Sonoma County resolves potential pension problem*
- October 22, 2010 FundFire article – *Consultant Wurts Bulks Up L.A., Seattle Offices*
- October 24, 2010 Fresno Bee article – *Fresno Co. has pension hangover, despite reform*
- October 27, 2010 Top 1000 Funds article – *The challenges of a low return environment*
- September/October 2010 The Journal Newsletter
- October 2010 The Retirement Chronicles (KCERA) Newsletter

**\*9. Most recent investment returns, performance summaries and general investment information from investment managers – RECEIVE AND FILE**


**\*10. Budget Status for the Quarter Ended September 30, 2010 – RECEIVE AND FILE**

**\*11. Second Quarter Performance Report Revisions – RECEIVE AND FILE**

**\*12. Request to surplus equipment that is no longer needed or not working – RECEIVE AND FILE; APPROVE**

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- \*13. Recommended Board of Retirement Regular Meeting Schedule for Calendar Year 2011 – RECEIVE AND FILE; APPROPRIATE ACTION
- \*14. Amendments to Conflict of Interest Code – RECEIVE AND FILE; APPROVE
- 15. Discussion and appropriate action on International Equity Search presented by Jeffrey MacLean, Wurts & Associates – RECEIVE AND FILE; APPROPRIATE ACTION
- 16. Discussion and appropriate action on Systematic transition presented by Jeffrey MacLean, Wurts & Associates – RECEIVE AND FILE; APPROPRIATE ACTION
- 17. Discussion and appropriate action on Standish personnel turnover presented by Jeffrey MacLean – RECEIVE AND FILE; APPROPRIATE ACTION
- 18. Discussion and appropriate action on Large Cap Growth Mangers ~ Performance Based Fee Schedule – RECEIVE AND FILE; APPROPRIATE ACTION
- 19. Discussion and appropriate on Board of Retirement Directives to FCERA Administration – RECEIVE AND FILE; APPROVE
- 20. Closed Session:
  - A. Conference with Legal Counsel – Actual Litigation - pursuant to G.C. §54956.9(a)
    - 1. *Geraldine Chisom, et al. v. Board of Retirement, etc., et al., Fresno County Superior Court Case No. 10 CECG 02372*
  - B. Conference with Legal Counsel – Potential Litigation – pursuant to G.C. §54956.9(c) – possible initiation of litigation (four cases)
  - C. Conference with Real Property Negotiators – pursuant to G.C. §54956.8
    - 1. Property: 1713 Tulare Street, Fresno, CA 93721  
Agency Negotiators: Brian Decker of Colliers Tingey
  - D. Disability Retirement Applications – Personnel Exception (G.C. §54957):
    - 1. Glen Green

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2. Rudolph Gutierrez

E. Personnel – Public Employee Performance Evaluation – Retirement Administrator (G.C.§54957)

F. Conference with Labor Negotiator (G.C. §54959.6) (if needed)

Agency Representative: Michael Cardenas or Nick Cornacchia

Unrepresented Employee/Position to be evaluated: Retirement Administrator

21. Report from Closed Session

22. Report from FCERA Administration

23. Report from County Counsel


24. Board Member Announcements or Reports

**NEXT MEETINGS:**

December 1, 2010 – 8:30 AM (Wednesday)  
Regular Meeting  
FCERA Boardroom  
1111 H Street, Fresno, CA 93721

December 15, 2010 – 8:30 AM (Wednesday)  
Regular Meeting  
FCERA Boardroom  
1111 H Street, Fresno, CA 93721

**Requests for disability-related modification or accommodation needed in order to participate in the meeting should be made to Elizabeth Avalos at 457-0350 no later than Monday, 11/01/10 at 12PM.**

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION	FCERA-PAS-REQ-704
	Project: PENSION ADMINISTRATION SYSTEM	
	Actuarial Extract	

## 4.4.704 Actuarial Extract

### 1 Overview

FCERA's actuary requires an extract of data each year from the Pension Administration System for its annual valuation. This data is used to assess FCERA's financial standing and commitments. An Experience Study is performed every three years.

Every three years or so, the data is sent to an auditing actuarial firm for a validation and comparison. Flexibility to change the details of the actuarial extract is required, to accommodate the needs of the different firms.

### 2 Roles

PAS Role Name	Definition
IT	Internal Information Technology staff at FCERA
Benefits Manager	The role at FCERA who manages day-to-day retirement operations.
Actuary Firm	The outside firm who conducts actuarial analysis for FCERA


### 3 Process Overview

#### 3.1 Process Scope

The Actuarial Extract is a file or group of files that represent the state of membership as of a certain valuation date, for a certain period of time. In this case, the files contain data for FCERA's membership and activity for the fiscal year from July 1 through June 30 for a particular fiscal year. Five files are produced:

- Active members
- Deferred and Suspended members
- Withdrawals and Terminations
- Retirees
- Beneficiaries, Surviving spouses, and Alternate payees (Note: Please report all alternate payees in this data file and not in the retirees data file.)
- Member and beneficiary deaths

The Actuarial Extract is produced following the close of each fiscal year (June 30). The goal is to finish producing the extract and send it to the Actuary around mid-August.

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### 3.2 Process Flow

There is no diagram necessary to illustrate this process.

### 3.3 Process Steps

1. Pre-requisites: June 30 payroll transaction data must be completed in the PAS for County, Districts, and from the Bank. FCERA Interest posting for June 30 must be completed.
2. The Actuary sends a letter around May 1 requesting data for the current fiscal year that ends on June 30. Instructions explaining calculations and criteria are included with this letter.
3. Between late July and early August FCERA compiles and cleans the data, and then puts it on an encrypted ftp site for the Actuary to retrieve. FCERA sends an email to the actuary that the file is available.
4. Research requests and questions come back to FCERA from the Actuary via email and the ftp site for FCERA to act upon.
5. FCERA responds to research requests.

### 3.4 Areas of Concern

From time to time various changes are required to the content and format of the actuarial extract data files. Also, when FCERA needs to send data to another actuary, the file content and format may differ. The PAS needs to accommodate these changes in content and format of the extract file, while ensuring data integrity.

Members can, and often do, have various roles in a PAS. For example, a retired member can be receiving payments as a retiree as well as a beneficiary. The process to produce the actuarial extract files needs to maintain separation of these roles.


Currently FCERA manually tracks the impact of TAO and reductions for repayments for actuarial reporting. The liability is based on the full benefit not the reduced benefit (repayments) and the continuance is based on the non-TAO adjustment. The PAS must be able to report the option values without the TAO impact and/or without the reductions for repayments.

### 3.5 Key Business Rules

There can be no duplication of service credit, contributions, and/or benefit payments reported to the actuary.

### 3.6 Data Points

The following data files are included in the Actuarial extract.

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	Actuarial Extract	

1. ww1\_actActive.xls – members who are active as of the valuation date.
2. ww1\_actDeferred.xls – members who are deferred without reciprocity, deferred with reciprocity, and suspended as of the valuation date.
3. ww1\_actActTerm.xls – employees who are terminated without a deferral (less than 5 years of service) as of the valuation date and any refunds within the previous year of the valuation date. Also, any active member who was on a FMLA, Leave without Pay, Leave of Absence, Military Leave or Refunded (after the previous valuation date) are included in the file. Note: unless instructed otherwise, we will continue to treat members on Leave of Absence as Actives in the actuarial valuation.)
4. ww1\_actRetiress.xls – members who are in payment status (retirees only).
5. ww1\_actBeneficiaries.xls – members who are in payment status (beneficiaries, surviving spouses and alternate payees only).
6. ww1\_actDeath.xls – members whose payment has stopped within the previous year of the valuation date


The data files are required to be in Excel format. The Excel files will be accompanied by a separate document that specifies the record layout for each file and the values and complete descriptions for all codes used in the files.

### 3.6.1 Active, Deferred, and Termination information as of the valuation date

The following table contains the specification for the contents of the files containing Active, Deferred, and Termination information for the actuary. The Example Value column does not imply the set of valid values, but rather an example of the values that could appear in the field.

Name	Field Type	Description	Example Value
UniqueID	Number	System generated number needed by database engine	99999
PersonName	Text	Member's name	Last First
SSN	Text	Member's SSN	999999999
CurrentMembership	Text	Member's last membership classification and tier	General Tier 1
BirthDate	Date	Member's date of birth	01/01/1010
Gender	Text	Member's gender	M
RetEntryDate	Date	Member's retirement entry date	5/23/2005
RetEntryAge	Number	Member's retirement entry age	33
LastPayRate	Currency	Member's last pay rate at the LastPayFrequency frequency. This is the member's actual compensation for the last pay period included in the extract file.	\$4,162.00
LastPayFrequency	Text	Member's last pay rate frequency, B=Biweekly, M = Monthly.	B
HighAvgPayMonthly	Currency	Member's highest average monthly pay. This is the final average monthly compensation that would be used by the PAS to calculate a benefit if the calculation were to be prepared as of the date the extract was	\$9,042.44




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	<b>Actuarial Extract</b>		

		generated.	
CurrentAvgPayMonthly	Currency	Member's average monthly pay for the twelve months pay immediately preceding the day the extract was generated.	\$8,042.44
ctbT1Bas	Currency	Member's General Tier I basic contributions	\$19,578.35
ctbT1COL	Currency	Member's General Tier I COL contributions	\$11,850.55
ctbT1SBa	Currency	Member's General Tier I supplemental basic contributions	\$7,521.13
ctbT1SCo	Currency	Member's General Tier I supplemental COL contributions	\$3,671.42
ctbT2Bas	Currency	Member's General Tier II basic contributions	\$0.00
ctbT2COL	Currency	Member's General Tier II COL contributions	\$0.00
ctbT3Bas	Currency	Member's General Tier III basic contributions	\$0.00
ctbT3COL	Currency	Member's General Tier III COL contributions	\$0.00
ctbT1BasSafety	Currency	Member's Safety Tier I basic contributions	\$19,578.35
ctbT1COLSafety	Currency	Member's Safety Tier I COL contributions	\$11,850.55
ctbT1SBasSafety	Currency	Member's Safety Tier I supplemental basic contributions	\$7,521.13
ctbT1SCOLSafety	Currency	Member's Safety Tier I supplemental COL contributions	\$3,671.42
ctbT2BasSafety	Currency	Member's Safety Tier II basic contributions	\$0.00
ctbT2COLSafety	Currency	Member's Safety Tier II COL contributions	\$0.00
ServiceT1	Float	Member's General Tier I years of service (benefit)	7.2473
ServiceT2	Float	Member's General Tier II years of service (benefit)	0
ServiceT3	Float	Member's General Tier III years of service (benefit)	0
ServiceT1Safety	Float	Member's Safety Tier I years of service (benefit)	7.2473
ServiceT2Safety	Float	Member's Safety Tier II years of service (benefit)	0
Category	Text	Member's plan division (county or districts) at the current date (division as of the valuation date is not available)	County
LastSvcStatus	Text	Member's employment status on the last service history record	Active
LastSvcStatusDate	Date	Effective date of the member's last service history record	11/7/2005
LastClass	Text	Member's class on the last service history record	U31
LastPTPercent	Float	Member's part time percent on the last service history	100
CategoryStatus	Text	Member's plan status at the current date (plan status as of the valuation date is not available)	Active
isDeferred	Yes/No	Flag for members who are deferred as of the valuation date	FALSE
isActiveTerm	Yes/No	Flag for members who are terminated but not deferred as of the valuation date.	FALSE
LvBal1	Float	Leave balances broken down by leave balance plans. This data is available only at termination. Field repeats vBal1, LvBal2,LvBal3...LvBaln for as many plans as the member has, even if values is zero.	123.45
LvBaln	Float	Leave balances broken down by leave balance plans. This data is available only at termination. Field repeats vBal1, LvBal2,LvBal3...LvBaln for as many plans as the member has, even if values is zero.	123.45

The active, deferred, and termination information is split into three Excel files:




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1. ww1\_actActive.xls, employees who are active as of the valuation date.
2. ww1\_actDeferred.xls, employees who are deferred as of the valuation date.
3. ww1\_actActTerm.xls, employees who are terminated without a deferral as of the valuation date and any refunds within the previous year of the valuation date.


### 3.6.2 Retirement Payments as of the valuation date

The following table contains the specification for the contents of the files containing information on retirement payments for the actuary. The Example Value column does not imply the set of valid values, but rather an example of the values that could appear in the field.

Name	Field Type	Description	Example Value
UniqueID	Number	System generated number needed by database engine	99999
PersonName	Text	Payee's name	Last First
PayeeSSN	Text	Payee's SSN	999999999
MbrSSN	Text	Member's SSN	999999999
Membership	Text	Member's last membership classification (General, Safety)	General
BirthDate	Date	Payee's date of birth	1/1/1010
Gender	Text	Payee's gender	F
RetireDate	Date	Member's date of retirement	1/1/1978
RetireType	Text	Retirement Type	Termination
RetireOption	Text	Retirement Option selected	Unmodified
ctbT1Bas	Currency	Member's General Tier I basic contributions	\$0.00
ctbT1COL	Currency	Member's General Tier I COL contributions	\$0.00
ctbT1SBa	Currency	Member's General Tier I supplemental basic contributions	\$0.00
ctbT1SCOL	Currency	Member's General Tier I supplemental COL contributions	\$0.00
ctbT2Bas	Currency	Member's General Tier II basic contributions	\$0.00
ctbT2COL	Currency	Member's General Tier II COL contributions	\$0.00
ctbT3Bas	Currency	Member's General Tier III basic contributions	\$0.00
ctbT3COL	Currency	Member's General Tier III COL contributions	\$0.00
ctbT1BasSafety	Currency	Member's Safety Tier I basic contributions	\$0.00
ctbT1COLSafety	Currency	Member's Safety Tier I COL contributions	\$0.00
ctbT1SBasSafety	Currency	Member's Safety Tier I supplemental basic contributions	\$0.00
ctbT1COLSafety	Currency	Member's Safety Tier I supplemental COL contributions	\$0.00
ctbT2BasSafety	Currency	Member's Safety Tier II basic contributions	\$0.00
ctbT2COLSafety	Currency	Member's Safety Tier II COL contributions	\$0.00
BeneRelation	Text	Member's relationship with the Beneficiary	Spouse
BeneContElig	Text	Beneficiary eligible for automatic continuance?	TRUE
BeneGender	Text	Beneficiary's gender	M
BeneBirthDate	Date	Beneficiary's date of birth	3/9/1917
benT1Annuity	Currency	Payee's General Tier I annuity benefit	\$59.67

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benT1Pension	Currency	Payee's General Tier I pension (current service) benefit	\$244.92
benT1SuppAnnuity	Currency	Payee's General Tier I supplemental annuity benefit	\$0.00
benT2Annuity	Currency	Payee's General Tier II annuity benefit	\$0.00
benT2Pension	Currency	Payee's General Tier II pension (current service) benefit	\$0.00
benT3Annuity	Currency	Payee's General Tier III annuity benefit	\$0.00
benT3Pension	Currency	Payee's General Tier III pension (current service) benefit	\$0.00
benT1AnnuitySafety	Currency	Payee's Safety Tier I annuity benefit	\$59.67
benT1PensionSafety	Currency	Payee's Safety Tier I pension (current service) benefit	\$244.92
benT1SuppAnnuitySafety	Currency	Payee's Safety Tier I supplemental annuity benefit	\$0.00
benT2AnnuitySafety	Currency	Payee's Safety Tier II annuity benefit	\$0.00
benT2PensionSafety	Currency	Payee's Safety Tier II pension (current service) benefit	\$0.00
benCOL	Currency	Payee's COL benefit (regular COL)	\$575.73
benCOLSect6	Currency	Payee's COL benefit (Section 6)	\$0.00
benCOLSect8	Currency	Payee's COL benefit (Section 8)	\$0.00
benT1AnnuityTAO	Currency	Payee's General Tier I annuity benefit post age 62	\$0.00
benT1PensionTAO	Currency	Payee's General Tier I pension (current service) benefit post age 62	\$0.00
benT1SuppAnnuityTAO	Currency	Payee's General Tier I supplemental annuity benefit post age 62 (Section 6)	\$0.00
benT2AnnuityTAO	Currency	Payee's General Tier II annuity benefit	\$0.00
benT2PensionTAO	Currency	Payee's General Tier II pension (current service) benefit post age 62	\$0.00
benT3AnnuityTAO	Currency	Payee's General Tier III annuity benefit	\$0.00
benT3PensionTAO	Currency	Payee's General Tier III pension (current service) benefit post age 62	\$0.00
benT1AnnuityTAOSafety	Currency	Payee's Safety Tier I annuity benefit post age 62	\$0.00
benT1PensionTAOSafety	Currency	Payee's Safety Tier I pension (current service) benefit post age 62	\$0.00
benT1SuppAnnuityTAOSafety	Currency	Payee's Safety Tier I supplemental annuity benefit post age 62 (Section 6)	\$0.00
benT2AnnuityTAOSafety	Currency	Payee's Safety Tier II annuity benefit	\$0.00
benT2PensionTAOSafety	Currency	Payee's Safety Tier II pension (current service) benefit post age 62	\$0.00
benCOLTAO	Currency	Payee's COL benefit post age 62 (regular COL)	\$0.00
benCOLTAOSect6	Currency	Payee's COL benefit post age 62 (Section 6)	\$0.00
benCOLTAOSect8	Currency	Payee's COL benefit post age 62 (Section 8)	\$0.00
benNVSuppCOL	Currency	Payee's non-vested supplemental annuity COL benefit.	\$260.19
benSuppRetire	Currency	Payee's supplemental retirement benefit (Section 8)	\$315.00
benSurvivor	Currency	Payee's survivor benefit	\$0.00
benHealth	Currency	Payee's health benefit 1 (Section 9)	\$63.00
benHealth2	Currency	Payee's health benefit 2	\$118.50
benInterest	Currency	Payee's interest benefit	\$0.00
ServiceT1	Float	Member's General Tier I years of service at	21.55

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		retirement/active death	
ServiceT2	Float	Member's General Tier II years of service at retirement/active death	0.00
ServiceT3	Float	Member's General Tier III years of service at retirement/active death	0.00
ServiceT1Safety	Float	Member's Safety Tier I years of service at retirement/active death	21.55
ServiceT2Safety	Float	Member's Safety Tier II years of service at retirement/active death	0.00
Category	Text	Member's plan division (county or districts)	County
LastSvcStatus	Text	Member's employment status on the last service history record	Retired
LastSvcStatusDate	Date	Effective date of the member's last service history record	1/1/1978
CategoryStatus	Text	Member's plan status at the current date (plan status as of the valuation date is not available)	Retired
DeathDate	Date	Member's date of death	2/19/2010
isDeath	Yes/No	Flag if members had died within the previous year of the valuation date	TRUE
BeneDeath	Date	Beneficiary's date of death	1/22/1986

The retirement payment information is split into three Excel files:

1. ww1\_actRetirees.xls – retired members who are in payment status as of the valuation date.
2. ww1\_actBeneficiaries.xls – beneficiaries, surviving spouses, and alternate payees who are in payment status as of the valuation date.
3. ww1\_actDeath.xls, members whose payment has stopped within the previous year of the valuation date


## 4 Analysis & Recommendation

The specification for the annual actuarial extract remains fairly constant as long as FCERA uses the same actuary. When FCERA changes actuarial firms, or if there are special requests from the actuary or actions taken by the employer to add a new tier, FCERA must be able to respond to these requests easily. The PAS should provide tools that allow FCERA to change the criteria for extracting the data for the actuarial files. Further, the PAS should provide a selection of predefined output file formats and the ability to define custom output file formats.


## 5 Requirements

The table below lists the formal requirements for the Actuarial Extract process.

ReqID	Process	Requirement details	Priority
-------	---------	---------------------	----------

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<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
704.001	Actuarial Extract	The PAS will provide the capability to produce data extract files in native Excel 2003 and later format for the Actuary.	1
704.002	Actuarial Extract	The PAS will provide the capability to produce data extract files in fixed field length ascii text file format for the Actuary.	1
704.003	Actuarial Extract	The PAS will provide the capability to produce data extract files in delimited ascii text file format for the Actuary.	1
704.004	Actuarial Extract	The PAS will provide the capability to define custom file output formats for the files to the Actuary.	1
704.005	Actuarial Extract	The PAS will provide the capability to produce data extract files in custom output formats for the Actuary.	2
704.006	Actuarial Extract	The PAS will provide the capability to alter the criteria used to extract data for the Actuary without engaging the PAS vendor.	2
704.007	Actuarial Extract	The PAS will provide the capability to produce the extract file ww1_actActive.xls, containing data for people who are Active as of the valuation date.	2
704.008	Actuarial Extract	The PAS will provide the capability to produce the extract file ww1_actDeferred.xls, containing data for people who are Deferred without reciprocity, Deferred with reciprocity, and Suspended as of the valuation date.	2
704.009	Actuarial Extract	The PAS will provide the capability to produce the extract file ww1_actActTerm.xls containing data for people who are Terminated without a deferral as of the valuation date and any cash-outs within the previous year of the valuation date. Any active member who was on a FMLA, Leave without Pay, Leave of Absence, Military Leave or Refunded (after the previous valuation date) is also included in the file.	2
704.010	Actuarial Extract	The PAS will provide the capability to produce the extract file ww1_actRetirees.xls, containing data for Retired members who are in payment status as of the valuation date.	2
704.011	Actuarial Extract	The PAS will provide the capability to produce the extract file ww1_actBeneficiaries.xls, containing data for beneficiaries, surviving spouses, and alternate payees who are in payment status as of the valuation date.	2
704.012	Actuarial Extract	The PAS will provide the capability to produce the extract file ww1_actDeath.xls, containing data for people whose payment has stopped within the previous year of the valuation date.	2
704.013	Actuarial Extract	The PAS will maintain separation of the various roles a member can have when producing the actuarial extract files. For example, an active member can receive a distribution as a beneficiary. The data behind the two roles must be reported separately in the actuarial extract files.	2
704.014	Actuarial Extract	The PAS will provide the capability to report Option values with and/or without TAO.	2
704.015	Actuarial Extract	The PAS must be able to report the Option values with and/or without the reductions for repayments.	2

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## 4.4.705 EDMS (Electronic Document Management System)

### 1 Overview

FCERA has purchased eCopy to provide electronic document management for internal, administrative, and financial documents. However, there is no document management capability for member documents. Member documents are stored in paper files. There is no backup to the papers. These documents are at risk, and in some cases may be the only record available to allow staff to certify the retirement eligibility or benefit calculation of a member.


FCERA's first and foremost priority for electronic document management is member-related documents. Other types of documents are included in the scope of an EDMS for future adoption. The selected EDMS will not preclude the management of internal, administrative, and financial documents at some future date.

The implementation of the EDMS will also streamline work processes through the use of workflow automation components. The primary reasons this initiative is critical to FCERA are as follows:

- The implementation will mitigate disaster recovery and business resumption issues
- The EDMS will reduce inconsistencies and inefficiencies in daily processing
- The EDMS will increase employee efficiency
- The EDMS will improve the security of member data by limiting access to authorized viewers

### 2 Roles

Role at FCERA	Description
Benefits Unit and support staff	The group of individuals that work within Benefits
Office Assistants (OA)	The group of individuals responsible for the general files associated with a member
FCERA IT Administrators & Manager (IT)	Individuals that have administrative rights to the system
FCERA Management (MGM)	Individuals responsible for managing the Operations group
Records Manager (RM)	Individuals responsible for disposition of records
Records Librarian (RL)	Individuals responsible for file maintenance
Accounting Unit (AU)	Individuals responsible for transaction reconciliation
Clerical Support (CL)	Individuals who scan documents into the system
Outside Auditors (AUD)	Read-only access for audit services

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## 3 Process Overview

### 3.1 Process Scope

EDMS software typically contains a core module that allows for the indexing of document image files (which are typically stored outside of the EDMS database). Augmenting the core module are other modules that extend the functionality of the core. The modules that are applicable to FCERA are:

- Records retention / records management
- Business Process Management (for automated workflow)
- Integration with capture software (for scanning)

The highest priority scope of an EDMS implementation for FCERA includes

- Member documents, including documents for non-member payees
- Incoming scanning including paper mail, email, fax, drop-offs, etc
- Back-file conversion
- Paperless workflow and distribution, including basic form recognition (via barcode or other means) for documents whose structure is under FCERA's control.
- Document management (search, annotate, import, edit/version)
- Secure document storage
- Integration with, or embedded within, PAS

As a secondary priority, the items below will be within the scope of an EDMS implementation for FCERA (FCERA uses eCopy for these documents now):

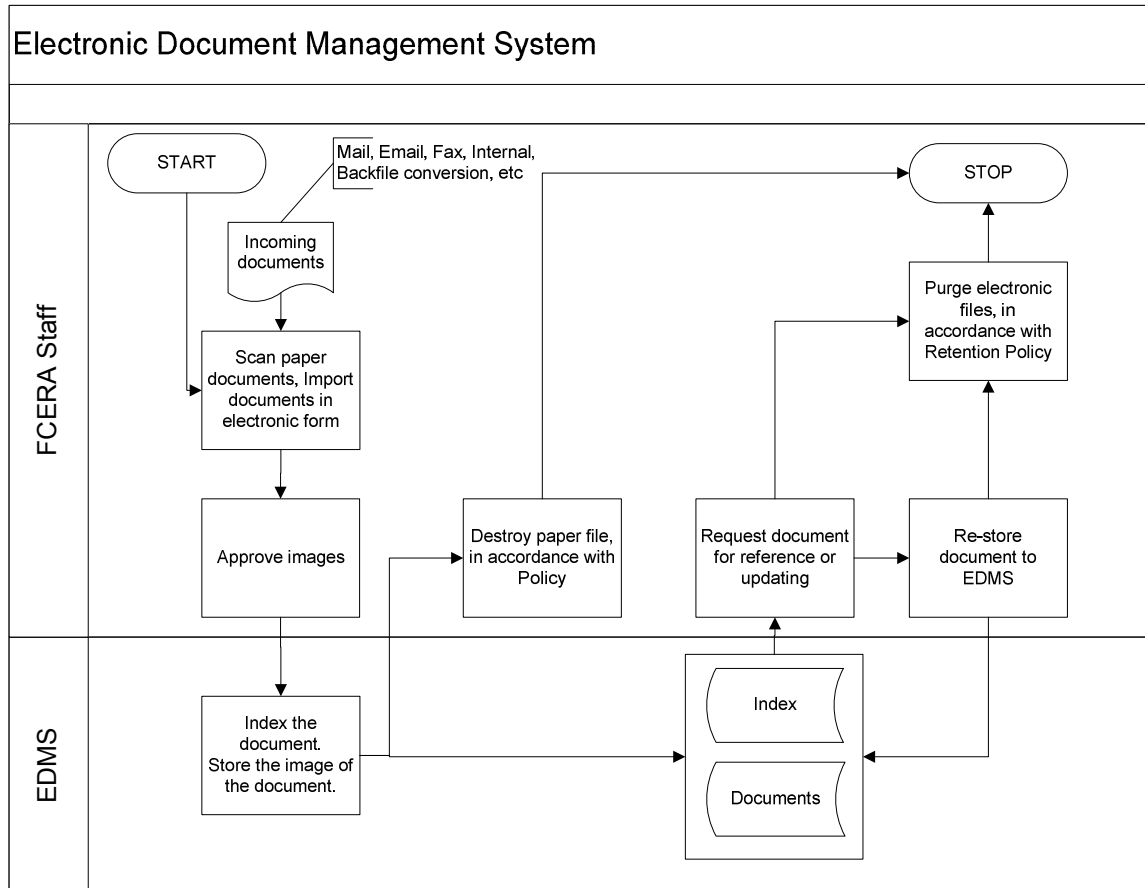
- Administrative documents (non-member documents such as legal briefs and contracts, email)
- Financial documents such as invoices and receipts
- Other documents supporting internal operations
- Optical Character Recognition (OCR) capability on the content of the documents

Areas that are **not in scope** for an EDMS at this time are

- Digital media such as audio, video, and photographs
- Documents supporting Disability claims
- Files of deceased members

### 3.2 Process Flow


As there is no electronic document management system at FCERA today, the diagram below depicts the high-level processing model if an EDMS were introduced.



### 3.3 Process Steps

1. Receive paper document
2. Scan paper document
3. Verify the scanned document
4. Import and index scanned document to EDMS
5. Route the document to the appropriate work group (and log the routing)
6. Retrieve document on-demand (and log who retrieved it)
7. Annotate document, if necessary (and log who worked on it)
8. Print document, if desired
9. Re-save document, perhaps as new version (and log who saved it)



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10. At the appropriate time, delete documents per retention policy.
11. Destroy or retain the paper document, per policy.

### 3.4 Areas of Concern

1. In addition to member documents, non member-related administrative documents must be included in the scope of capabilities of an EDMS for FCERA. While non member-related administrative documents are not a priority at this time, FCERA does not want to preclude the adoption of those documents into an EDMS in the future.
2. Integration with PAS (or EDMS functionality embedded in a PAS) is essential.
3. FCERA will need to develop a policy concerning electronic signature and whether a 'wet signature' is required for authenticity. While this policy decision should not impede the implementation of an EDMS, it could affect the timeline for paper file destruction.
4. Physical space is a concern at FCERA. For example, one large monitor capable of displaying several full-size scanned sheets will be better than having multiple monitors. Likewise, the space required for scanner(s) is also a concern.
5. FCERA requires the capability for non-technical staff having appropriate permissions to modify the rules of document routing (i.e. workflow).
6. FCERA requires that all actions to documents be logged with timestamps: who scanned it, who was it routed to (or re-routed to), who worked on it.
7. Document routing will be controlled with a mapping of document type to workgroups ("work units"). The work units for member-related documents are
  - a. Benefits Staff
  - b. Support Staff
  - c. Office Assistant
  - d. Accounting
  - e. Administration
8. FCERA does not maintain membership accounts for non-member payees (called "split accounts" in some organizations). However, the document files for non-members are kept separate from the files of the true member. The future EDMS is expected to accommodate this model by associating logically the document files of the non-member payee with the true member and vice versa.



### 3.5 Key Business Rules and Design Considerations

#### 3.5.1 Document Model

The Document Model is one of the most critical design elements of the EDMS system because it drives the user experience and security associated with the document types.

Key considerations for the design of a suitable document model for FCERA are as follows:


- **Scalability:** The document model needs to capture the information that is currently relevant (for example, first name, last name and SSN). At the same time, the document model needs to provide the flexibility for single type extension: each document type needs to be extensible without affecting any of the other object types.
- **Consistency:** The document model needs to accommodate the needs for the Benefits Staff as well as the needs for other departments to be analyzed in the future. For this reason, department-specific document types will likely be needed to represent the individual requirements for common attributes.
- **Naming Conventions:** Document types should be identifiable for end users by a name that leaves no room for misinterpretation.
- **Minimizing the number of document types displayed to end users:** Users creating a document either via the 'import' or the 'new document' functionality will have a number of document types available to choose from. However, the amount of document types available to the end users will not be excessive, since different divisions (Benefits, Accounting, Support, etc.) will have their own document types and thus the list of available object types will not grow infinitely.
- **Performance:** There will be no negative impact to the EDMS performance due to a high amount of document types in the repository.
- **Customization effort:** The EDMS should be capable of providing the document model described above with little to no customization.

#### 3.5.2 Document Repository Taxonomy

The document repositories will be planned using a taxonomy consistent with the structure of FCERAs organization. A likely taxonomy is presented below.

The example presents the Benefits taxonomy, which is the higher priority for an EDMS solution at this time.

Focus	Examples of Documents
Benefits	Birth certificates, death certificates, retirement applications, beneficiary forms, disability applications, etc (Note: medical records supporting disability claims are not expected to be in the EDMS)

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A potential taxonomy for including non-membership documents into an EDMS solution is shown in the table below. FCERA currently uses a solution from eCopy, Inc to manage these documents satisfactorily. FCERA may consider adopting these types of documents in a future EDMS implementation project, and is interested in learning about capabilities to that goal. The EDMS solution will not preclude the adoption of these documents.

<b>Focus</b>	<b>Examples of Documents</b>
Communications	Press releases, member newsletters
Payment Reconciliation	Reports
Finance	Reports, memos
Information Technology	Procedures documentation, diagrams, manuals, reports
Internal Administration	Forms, employee files, reports
Accounting	Financial and investment records, banking records
Legal	Memos, court documents and filings, policies, letters
Investments	Consultant reports, Manager reports, transaction documentation
Administrative	Memos, letters, reports
Board	Memos, letters, reports


### 3.5.3 Member Folders

Member documents will be stored within “folders”, both for visual and organizational reasons. Document management systems generally provide a search mechanism by which a user can call up a particular document based on its classification, keywords, and other attributes. FCERA would like an additional view of objects in the repository that a user can browse through as they would in MS Windows Explorer on their desktop PC.

When designing large scale document repository structures, it is critical to design a useful folder structure that users can manage. Since there is likely to be a large number of folders and documents, there needs to be special consideration of how a user will browse through the folder structure. If a particular folder will have a large number of sub-folders contained in it, there may be navigational challenges for the user.

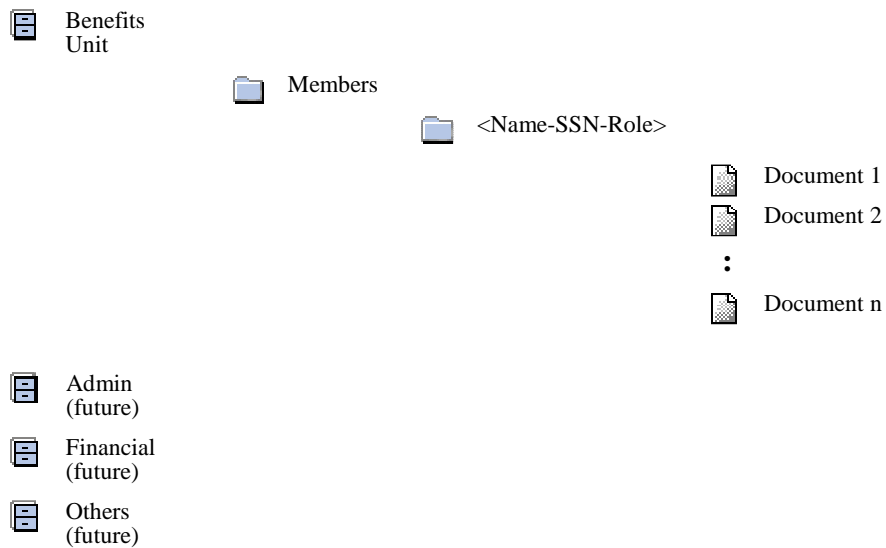
For this reason, it is important to design the folder structure in a way that minimizes the possibility for these scenarios and maximizes the ability for the user to properly categorize their documents. Other items of concern when designing a folder structure are security boundaries. Documents of like security profiles are typically grouped together to minimize the need for complex security implementations.

The next consideration when producing a folder structure is to consider the method that the content will be filed in the structure. When working with image capture applications that will export the image along with property data to the document repository, how the capture application will know where to file the image in the folder structure must be considered. In most cases, the index data that is captured with the image in the capture system is used to construct a folder path where the document will need to be linked in the repository. When indexing is not performed in the capture system, it becomes necessary to create a folder structure that can be used as a temporary holding area for the image while it is being processed in a workflow. Then, at the appropriate time, the content can










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be filed automatically in its proper folder structure based on business rules built into the index (property) values. While in the holding area, documents should be accessible via the EDMS for viewing, although they might not yet be accessible from the PAS.











The FCERA folder structure is based on the taxonomy established for the Benefits Unit Member documents.



Should the number of member folders be perceived as unwieldy as one long list, a further grouping could be implemented to segment the member folders alphabetically as shown below.


 Benefits Unit			
	 Members Aa-Am		
		 <Name-SSN-Role>	
			 Document 1
			 Document 2
			:
			 Document n
	 Members An-Az		
		 <Name-SSN-Role>	
			 Document 1

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			 Document 2
			⋮
			 Document n
	 Members Ba-Bm		
		 <Name-SSN-Role>	
			 Document 1
			 Document 2
			⋮
			 Document n
	Etc ...		
 Admin (future)			
 Financial (future)			
 Others (future)			

Member folders should have all the attributes required of the documents (see paragraph Document Attributes later in this document) plus the additional attributes shown shaded below.

<b>Properties</b>
Name [Folder Display Name]
Title
Keywords
Folder Type (Benefits Unit, etc)
Last Modified (mm/dd/yyyy)
Checked Out by
Lifecycle state
Retention rules
Permissions
Member Last Name
Member First Name
Member SSN (###-##-####)
Member Status
Member Classification
Member Type/Role
Member Date of Birth
Associated SSN

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The EDMS will provide hyperlinks to the document image folders/files. The hyperlinks will be shown, where appropriate to the context of the member, on the user screens of the PAS.

The documents within the member folders will inherit attributes from that folder if at all possible, such that renaming the member folder (which happens often, due to marriage and divorce) will allow the documents within that folder to also be renamed.

Tracking files to the proper names when name changes are involved is currently a challenge for FCERA. The EDMS will be expected to aid in tracking document files when name changes are involved.

Member documents must also have properties associated with them that will facilitate retrieval as well as security. In other words, some users may be able to access a certain document type whereas other users will not.


The following table details the requirements for member folders:

<b>Property</b>
Folder Display name = Last Name + last four digits of SSN + member/non-member designation. For example, John Smith, SSN = 999-00-1234, a member, would have the folder named: Smith_1234_MBR. If John Smith were also receiving benefits as a beneficiary, there would be a second folder Smith_1234_BEN
Last Name
First Name
SSN (###-##-####)
Date of Birth (MM/DD/YYYY)
Member status (Active, Retired, Inactive, Terminated, Deceased, Disabled, Deferred)
Member classification (General, Safety)
Member Type/Role (Member, Beneficiary, Alternate Payee)
Associated SSN(s) (for beneficiaries and other non-member payees, in order to link them to the member) (###-##-####)


### 3.5.4 Document hierarchy

All member documents must be classified for the EDMS and scanning process. A list of current member document types at FCERA appears below


<b>Document Classification</b>	<b>Document type/name</b>
Affidavits	Death Affidavit
Applications	Application for Disability
Applications	Application for Service Retirement
Applications	Application for Retirement
Authorizations	Authorization for Disclosure and Use of Protected Health Insurance Information
Authorizations	Information release for REFCO, Unions, IRC415b
Banking	Direct Deposit EFT Boston Safe Deposit request forms
Banking	Member's banking institution change

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Banking	Direct Deposit forms
Banking	Participant Payment Report
Banking	Stop, Cancel, Void request (Fifth Third Bank)
Banking	Bank of New York Check Register
Banking	Copies of checks
Banking	Payment Summary (copies of Check stub)
Banking	Pension & Periodic Payment Authorization (Boston Safe Deposit & Trust)
Banking	Form 1099R
Banking	Participant Payee Authorization Sheet
Banking	Wells Fargo payment change request
Banking	Pension Participant Check Ledger Detail Report
Banking	Participant Payment Report
Banking	Pension payment request Form
Banking	ACH Return item report
Beneficiary	Beneficiary Change Forms
Certificates	Birth Certificate
Certificates	Death Certificate
Certificates	Marriage Certificate
Certificates	Driver's License
Certificates	SSN Card
Certificates	Wedding certificate, signed
Certificates	Baptismal Certificate
Correspondence	Annual Member Benefit Statements
Correspondence	Letter stating Retirement Contribution Balances
Correspondence	Memo in response to member request
Correspondence	Letters from Members
Correspondence	Letter to member regarding refund ineligibility for extra help
Correspondence	Letter to the member when limitation has been reached and County subsidy is to start
Correspondence	Misc letters to members
Correspondence	Lifetime Benefit Letter
Correspondence	Email
Correspondence	Faxes
Letter	Memo to County to start the age adjustment
Letter	Memo to Special Districts to make contributions adjustments in their systems based on age change.
Letter	Letter to member informing of the age change and the effective date of the contribution adjustments
Disability Documents	Report for Occupational Injury or Illness
Divorce Documents	Divorce settlement document
Divorce Documents	Joinder
Divorce Documents	DRO
Divorce Documents	Decree (also called Judgment)
Employment Documents	Employees Pay Summary Inquiry
Employment Documents	Employer/employee statements
Employment Documents	Reciprocity Documents
Employment Documents	Letter to member confirming reciprocity.


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Employment Documents	Reciprocity denial letter (Outgoing)
Employment Documents	Intersystem Membership Advice
Employment Documents	Earn Codes
Employment Documents	Employee History Card
Employment Documents	Contributions History
Employment Documents	Tier Enrollment
Employment Documents	Tax Withholding Election Form for Excess Contributions
Employment Documents	Corrections and instructions to County Personnel
Estates and Trusts	Family Trusts
Estimates & Calculations	Buyback research
Estimates & Calculations	Research
Estimates & Calculations	Notice of Final Compensation Recalculation
Estimates & Calculations	Salary verification for contribution adjustment
Estimates & Calculations	Calc Summary
Estimates & Calculations	Calc Audit Trail
Estimates & Calculations	Estimate letter
Estimates & Calculations	Request for Retirement Benefit Estimates
Estimates & Calculations	IRC415b Calculations
Estimates & Calculations	Age Adjustment Excel print
Estimates & Calculations	Audit trail which shows the age used for calculation
Estimates & Calculations	Member's Social Security estimate, if electing temporary annuity.
Estimates & Calculations	TAO Calculation
Estimates & Calculations	TAO Interest Calculation
Estimates & Calculations	Request for calculation of retirement allowance
Estimates & Calculations	Calculation of General Contributions
Excel prints	various prints from excel
Excel prints	FCERA Pension Payment Form
File Notes	handwritten notes on thin yellow paper

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File separators	TERM/DEFER
File separators	MEMBERSHIP INFORMATION
internal forms	Clerical instruction forms
Interoffice Memos	Interoffice memo - payroll deductions
Legal Documents	Legal & Confidential Correspondence
Legal Documents	Legal Opinions
Legal Documents	Durable Power of Attorney and Nomination of Conservator
Member Information	FCERA Name and Address Change
Member Information	Postal Name and Address Change
Member Information	Name and Address Change Memo
Member Information	Membership Information Card
Member Information	ZIP Code lookup screen print
Member Information	Request for change of beneficiary (legacy)
Member Information	Enrollment Card
Member Information	Employee Status Report
Other Documents	Dues
Other Documents	Current Account Balances
Other Documents	Tracking checklist
Other Documents	Yellow notes sheet
Other Documents	Agreement to Pay
Other Documents	Memo to payroll
Other Documents	Disability separator
Other Documents	FCERA Request Form
Payroll Documents	Payroll Calculations worksheet
Payroll Documents	Summary of Leave Payoff at Termination
Payroll Documents	Check register
Payroll Documents	Receipt of payment of health Insurance premium
Purchase & Repayment	Service Purchase Forms
Purchase & Repayment	Service Purchase Contracts
Purchase & Repayment	Receipt of payment
Purchase & Repayment	Repayment agreement
Retirement Documents	Retired member Was/Is receiving allowance
Retirement Documents	Continuance forms
Retirement Documents	Request for Disposition of Member's retirement Contributions
Retirement Documents	Application for Retirement FCAC-252 (3/85)
Retirement Documents	Election of Retirement Allowance
Retirement Documents	Letter to Actuary at member retirement
Retirement Documents	Supplemental Cost of Living Adjustment
Retirement Documents	TAO Benefit
Retirement Documents	9729 Underpayment
Retirement Documents	Retirement Calculation
Retirement Documents	COL Worksheet
Retirement Documents	Interest Calculation Worksheet
Retirement Documents	retiree Health Insurance mass change listing
Retirement Documents	Social Security Estimate
Retirement Documents	Letter from Actuary with benefit amounts



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Screen Prints	PENSIONS screens
Screen Prints	Peoplesoft screens
Tax Withholding	IRS W4
Tax Withholding	DE 4P
Tax Withholding	DE 4P
Tax Withholding	FCERA Withholding
Tax Withholding	Boston Company Withholding
Tax Withholding	State Withholding, request for other states

### 3.5.5 Document Attributes

Besides document type, FCERA requires that the documents have additional attributes attached, as shown in the table below.


<b>Properties</b>
Document Name
Title
Keywords
Document Type
Last Modified (mm/dd/yyyy)
Lifecycle state
Checked out by
Retention rules
Permissions
Member Last Name
Member First Name
Member SSN (###-##-####)

The table above assumes that the repository can store additional information about the member at a folder level (see below). If all member attribute data must be stored at a document level, then the following attributes are also required:

- Member Status (Active, Retired, Disabled, Terminated, Deceased, Deferred, Inactive)
- Member Classification (General, Safety)
- Member Type/Role (Member, alternate payee, Beneficiary)
- Member Date of Birth
- Associated Member (links a beneficiary/alternate payee to a member)

### 3.5.6 Document Access Security

Control of access to documents must be implemented via user security roles that control who can do what. Basic functions that users do are listed below as Permissions. The permission structure must be hierarchical. This means that someone with Delete

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permission has the ability to perform Edit, Version, Annotate, Read, and Browse member documents. Permissions must be assigned to objects on creation, and must be changeable afterwards by a user with the proper permissions. For each Document Type, a security matrix will be used to define the permissions that apply for the FCERA EDMS repository.

<b>Permission</b>	<b>Description</b>
No access	The user cannot see that the object exists.
Browse	The user can see the document's name but cannot view the document.
Read	The user can view the properties and content.
Annotate	The user can annotate the document.
Version	The user can modify properties and content, but must create a new version of the document to effect the change.
Edit	The user can modify properties and content and save as the same version.
Delete	The user can delete the document

Security Groups will facilitate the application of proper security and functional access to the system. The following user groups will be created at FCERA:

<b>Role at FCERA</b>	<b>Description</b>
Benefits Unit and support staff	The group of individuals that work within Benefits
Office Assistants (OA)	The group of individuals responsible for the general files associated with a member <sup>1</sup>
FCERA IT Administrators & Manager (IT)	Individuals that have administrative rights to the system
FCERA Management (MGM)	Individuals responsible for managing the Operations group
Records Manager (RM)	Individuals responsible for disposition of records <sup>2</sup>
Records Librarian (RL)	Individuals responsible for file maintenance
Accounting Unit (AU)	Individuals responsible for transaction reconciliation that may need to access a member file <sup>3</sup>
Clerical Support (CL)	Individuals who scan documents into the system
Outside Auditors (AUD)	Read-only access for audit services


The EDMS will support a flexible model of groups, subgroups, and roles to facilitate the proper security and functional scoping in the user interface. Administrators with the proper permissions will be able to add or delete groups, change the permissions for groups, and assign individual users to groups at any time. Note that users may be members of more than one group, and will inherit the least restrictive privileges of all groups of which they are members.

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<sup>1</sup> TBD: FCERA should consider if access to Member files need to be stratified within Benefits Unit, so that senior staff members have more access/privilege than junior staff members

<sup>2</sup> The Records Manager will have the greatest level of access and authority over ALL FCERA documents.

<sup>3</sup> TBD: Accounting will need to be able to view some member documents in order to process adjustments to 1099R, for example.

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### 3.5.7 Document Naming Conventions

The EDMS will name member documents automatically, to ensure a consistent look and feel to the repository. The name will be a combination of attributes, as described below:

DocumentType\_LastName\_LastFourDigitsSSN

For example, an Application for Retirement for John Smith, SSN 456-67-5567, would be named:

**Application\_for\_Retirement\_Smith\_5567**

### 3.5.8 Document Types

The following table contains a list of document formats that will be accepted into the document repository. The EDMS will provide the capability for FCERA to add to this list as required


All Member documents	MS Word '97 -2011
	MS PowerPoint '97
	MS PowerPoint 2002
	MS Excel'97-2011
	Adobe PDF and variants (PDF/A, Compact PDF, searchable PDF, etc)
	Tiff
	Plain ASCII text
	RTF
	GIF
	JPEG
	.WK4 (Lotus Spreadsheet)
	XML
	XPS, Compact XPS
Legal Documents	MS WORD '97 though 2011
	Adobe PDF

### 3.5.9 Sizing and Capacity

FCERA backfile is estimated to be 1.1 million sheets, based on 2000 sheets per linear foot of files and 555 linear feet of files. Annual files growth has been historically about 22000 sheets per year<sup>4</sup>. During implementation, the EDMS solution must be sized to accommodate 3 million sheets. The EDMS must be capable of supporting over 10 million sheets with no user-perceived performance degradation.

The sizing of the current backfile *includes* the files of refunded members. These refunded files are stored in bins outside of the file room and will be scanned as part of backfile conversion.

<sup>4</sup> Over a period of six years in the current facility, FCERA has filled 2.5 additional full-size shelving units with files. At 46 inches per unit and 7 shelves per unit, that is 805 inches (67 linear feet) of shelf, making growth about eleven linear feet per year on average.

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The sizing of the current backfile *excludes* the files of deceased members. FCERA does not have a requirement to scan the existing files of deceased members.

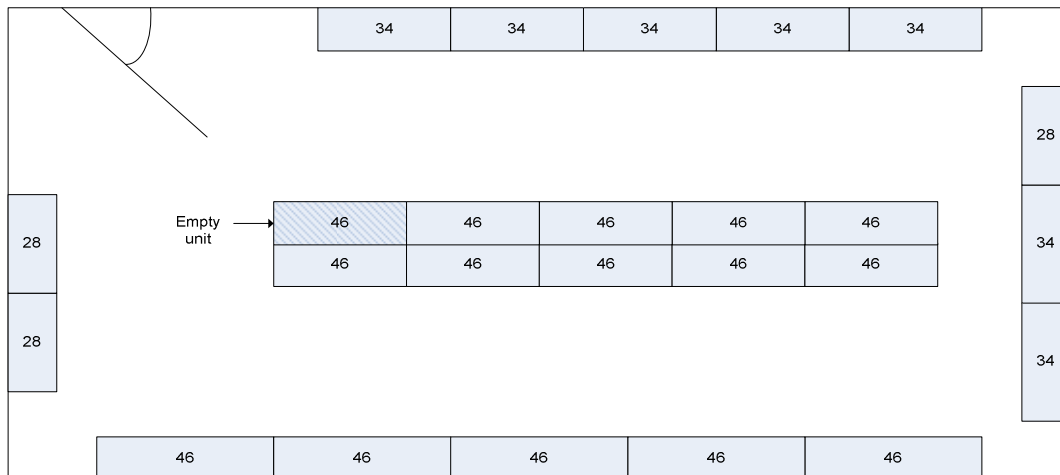
The sizing of the current backfile *excludes* documents supporting disability claims, but *does include* the normal membership files of members claiming disability. FCERA does not have a requirement to scan the documents supporting disability claims.

There is an effort underway at FCERA to purge files of redundant and out-dated documents, which may result in a small reduction in the current number of sheets.

### 3.5.10 File physical attributes and condition


The files are housed in two areas: the file room, and 15" plastic storage bins throughout the office.

The file room has shelving around the perimeter and in the center of the room. Shelving units are all 7 rows high. The shelves are of 3 different widths: 28 inches, 34 inches, and 46 inches. The configuration of the file room is shown in the diagram below.



The member files at FCERA are 9.5 x15.5 inch dual-clip manila folders. All folders are manila; the color of the folder has no meaning. Each folder has a tab label containing the member's name, SSN, status, and classification as shown below.

LAST NAME, FIRST NAME  
SSN-XX-XXXX, STATUS, CLASSIFICATION

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Status is the two-character coded value representing Active, Retired, Suspense, Deceased, Inactive, or Deferred.

Classification is a one-character coded value representing Safety (S) or General (G)


Each folder also has three stickers affixed to the edge of the folder. One sticker is the first letter of the last name, another is a color/number representing Classification, and the third is a color/number representing Status. The table below defines the color/number combinations.

<b>Number</b>	<b>Color</b>	<b>Classification, Status</b>
1	Red	Safety
2	Not used	Not used
3	Orange	Refund
4	Light Green	Suspense
5	Dark Green	Deferred
6	Light Blue	General
7	Dark Blue	Inactive
8	Pink	Retired
9	Brown	Deceased

The physical condition of the files in the file room at FCERA is quite good. Physical examination of a random selection of eleven files for a total of approximately 1000 sheets revealed the following:

- Files are in topical and chronological order with the oldest sheets at the bottom of each subject area
- Sheets are neatly kept within the folders, although some sheets are in the folders backwards or upside down.
- There are very few crumpled or torn sheets
- Legal size sheets are folded from the bottom to be letter size
- There are many staples
- There are some loose sheets, but not many
- There are few loose-leaf notebook sheets, 3-hole punched on the left side
- All sheets have 2-hole punch at top of the sheet, and some also at the bottom. The few loose-leaf 3-hole punched sheets are also punched at the top with 2-holes.
- Most of the file content is clipped to the right side of the folder. The left side clip holds only a few sheets in comparison. Usually, the member's history card is clipped on the left side.
- Handwritten notes on documents are prevalent
- Yellowed, aging paper is common in older files
- Card stock is common, but not in high volumes
- Envelopes are common, but not in high volumes

The files contain fairly uniform content with regards to paper size, weight, and color, plus ink quality and color. The table below lists characteristics of the sheets with regard to these attributes. The Volume column contains an approximate distribution of the number


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of sheets having each characteristic (based on subjective observation of the samples).  
Note that handwriting can appear on any sheet.

<b>Size</b>	<b>weight</b>	<b>color</b>	<b>Ink</b>	<b>Volume Approx (%)</b>
US Letter	Standard 20#	White	Black laser or black inkjet	80%
US Letter	Light weight or onion	Pastel colors (yellow, pink, light blue)	Black commercial print with black, blue, or red handwriting	5%
US Letter	Heavy weight paper, light weight card stock	Light blue, dark blue	Black laser with black, blue, or red handwriting	2%
US Letter	Loose leaf notebook paper 16# or 20#	White, lined	Black, blue, or red handwriting	0.5%
US Legal	Standard 20#	White	Black laser or black inkjet	5%
US Legal	Light weight or onion	Pastel colors (yellow, pink, light blue)	Black commercial print	1%
Note card sizes 3 ½ x 5 inches, 4 x 6 inches, other similar sizes	Card stock	White with colored shading	Black commercial print with blue, black, or red handwriting	1%
Note card sizes taped to US Letter	Card stock on 20# paper	White with colored shading	Black commercial print with blue, black, or red handwriting	.5%
US #10	Business Envelope	White	Black laser or handwritten some with Post address forwarding stickers	.5%
US #6¾	Personal Envelope	White	Black laser or handwritten, some with Postal address forwarding stickers	0.5%
Partial sheets	Standard weights	Various, mostly white with shading	Black commercial black print with handwriting	3%
Partial sheets (including post-it notes, calculator tape) taped to US Letter	Standard weights	Various, mostly white with shading	Black commercial black print with handwriting	2%
Greenbar computer paper	Light weight	Green and white, blue and white	Line printer black, faded	1%

All full listing of all the document types appears in the Appendix to this document, each with the following document traits detailed:

- File type
- Document classification

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- Document type/name
- Number of pages
- Single/double sided
- Resolution
- Ink and paper color
- Paper

The files in 12x15" plastic storage bins are refunded member files. There are 79 bins stored in various remote corners of the office. While the inventory of documents is generally the same, these bins differ from file room files in several ways:


- The folders have been removed. Only the documents are in the bins.
- The documents are not as orderly. Alphabetic order is loose. There are no clips holding documents in place.
- There are numerous rubber bands holding groups of documents together.

### 3.5.11 Search and Retrieval

The EDMS must have robust search capabilities, since this will be the primary method of retrieving documents (in contrast to the folder browsing method).

Primarily, FCERA will use the social security number (with or without dashes) to retrieve a member's folder and all of its contents. However, the EDMS will allow any document attribute or combination of attributes to be used as search criteria. Additionally, the EDMS must provide the following general search functionality:

- The EDMS will allow users to search on annotations, comments and redactions that are associated with a document, folder, or group of documents
- The EDMS will allow users to browse the records stored in the EDMS based on their user access permissions.
- The EDMS will allow searches using any combination of the record and/or folder metadata elements *utilizing full text search*
- The EDMS will allow the user to specify partial matches and will allow designation of "wild card" fields or characters.
- The EDMS will allow searches using Boolean and relational operators: "and," "and not," "or," "greater than" (>), "less than" (<), "equal to" (=), and "not equal to" (<>), and provide a mechanism to override the default (standard) order of operator precedence.

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- The EDMS will present the user a list of records and/or folders meeting the retrieval criteria, or notify the user if there are no records and/or folders meeting the retrieval criteria. The EDMS will allow the user to select and order the columns presented in the search results list for viewing, transmitting, printing, etc.
- The EDMS will allow users the ability to search for null or undefined values.
- The EDMS will provide to the user's workspace (filename, location, or path name specified by the user) copies of electronic records, selected from the list of records meeting the retrieval criteria, in the format in which they were provided to The EDMS for filing.
- When the user selects a record for retrieval, the EDMS will present a list of available versions, defaulting to the latest version of the record for retrieval, but allow the user to select and retrieve any version.
- The EDMS will allow users to select any number of records, and their metadata, for retrieval from the search results list.
- The EDMS will allow the user to abort a search.
- The EDMS will allow the user to use the search, retrieve, and view operations concurrently, as well as on the same document.

### 3.5.12 Document Management

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#### 3.5.12.1 Lifecycles


FCERA will require documents to follow a variety of lifecycles states. At the minimum, documents will be organized by a disposition schedule, and that schedule will have an Active and Retired lifecycle state. The EDMS must be capable of attaching lifecycle states to documents (objects), and these states must be configurable by a system administrator. The EDMS must be capable of promoting and demoting documents to the various lifecycle states via workflow, folder location, or other means.

#### 3.5.12.2 Creating Documents

FCERA will want users to create documents within the document repository, either via the PAS user interface or directly in the EDMS, rather than users storing documents on their local PCs.

In order to facilitate this, the EDMS will allow users to easily create a standard MS Office document—MS Word or MS Excel, specifically—using a minimum number of commands. The EDMS will force the user to select the required attribute data either upon starting the document or upon the first save of the document.



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### **3.5.12.3 Templates**

FCERA will also want users to create documents from certain templates stored within the repository. The EDMS should be able to centrally store and present these templates to end users. During the document creation process, the EDMS will present the option of creating a document from a template. A great majority of the documents will be MS Word documents, such as form letters, memos, and like.

The creation of templates within FCERA is ongoing, so the following list of templates may be extended at any time:

- FCERA Fax Cover Sheet
- FCERA Letterhead
- TBD

### **3.5.12.4 Editing a Document**

Users at FCERA will have the ability to edit documents contained in the repository. In most cases, they will need to save the edited version as a new version (see below). Once the document is opened for editing, it must be locked for editing by any other users. Other users should be able to view the document, and print it, but not edit it. Once the edit process is complete, the EDMS must reopen (unlock) the document for editing by others. There will be an administrator's override capability to force-release a locked document if necessary.

### **3.5.12.5 Versioning**

For most users, editing a document will force a new version number for the document. The edit process should be as described above, but upon closing the application in which the edits were performed, the EDMS must prompt the user to select a new version number. The EDMS will offer a major or minor version number to choose; the user must not be able to overwrite or change the version number, which will be sequential.

### **3.5.12.6 Viewing and Printing**

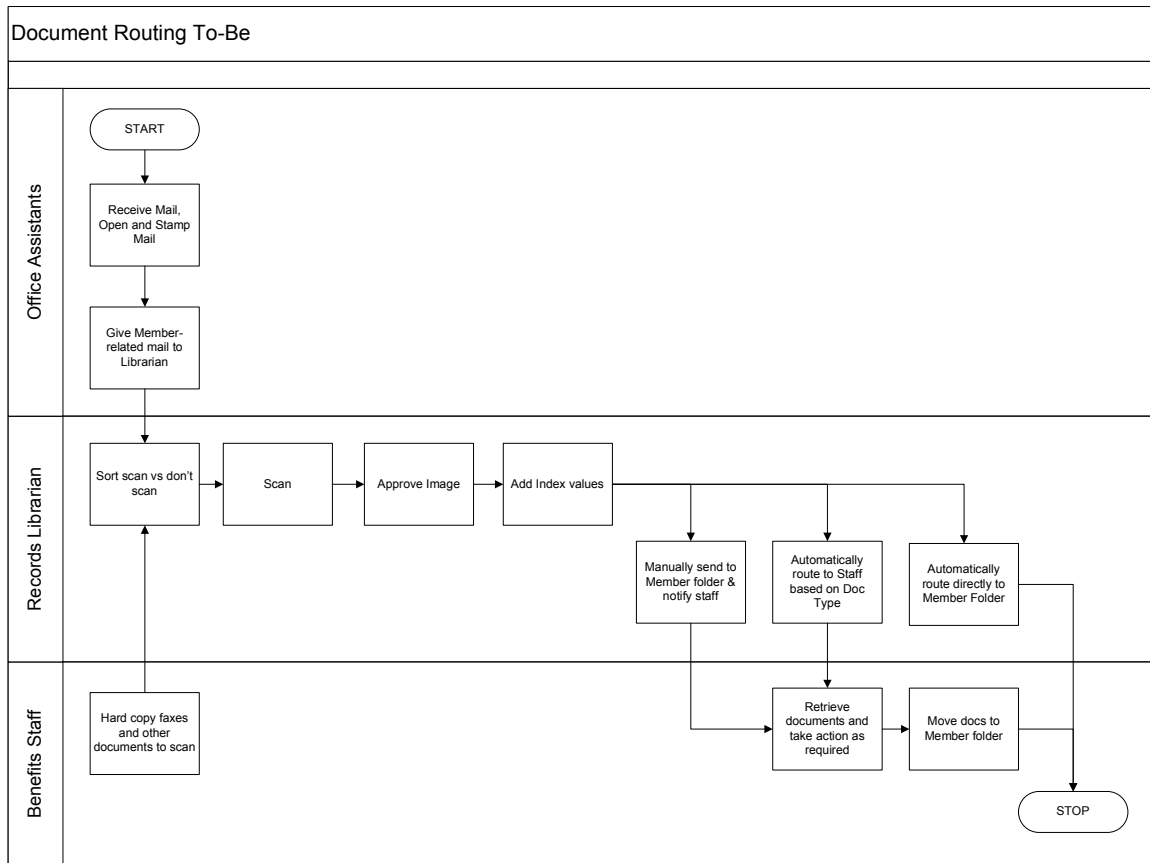
FCERA requires the default mode when opening a document to be the view-only. This will ensure that the document will not be edited by accident. The view mode will only allow the user to read the document or print it.

### **3.5.12.7 Routing**

Users will be able to route documents manually to other users of the EDMS, using a quick and intuitive function in the EDMS. The routing process will allow the user to enter a message indicating the purpose of the document and will allow the user to route the document to multiple recipients in any order he/she selects.

The EDMS will also provide automatic routing by Document Type to other users and to the member folders.

The diagram below portrays the document input and routing anticipated when the EDMS is in place.



### 3.5.13 Annotation


#### 3.5.13.1 Universal Tool

The EDMS must offer an annotation tool. This application must be universal to all files in the repository; it must open any document format supported by the system.

#### 3.5.13.2 Annotation Features

The EDMS must have the following functionality regarding annotation:

- The user must be able to add a comment of unlimited length in a text box that is visibly attached to any point in the document.
- Username, date, and time stored automatically with the comment
- The user must be able to strike-out using a line tool

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- The user must be able to redact (black out content) a document without changing the original content
- The user must be able to use a circle or square tool to place a border of variable size in the document
- The user must be able to change the color of the square or circle
- The user must be able to highlight text
- The user will be able to view or suppress the annotations
- The user will be able to print the document with or without annotations
- The application will be able to apply security to the annotations

### 3.5.13.3 Search on Annotations

The EDMS will be able to use its full text search feature to search on comments stored as annotations. The EDMS will return the search results in annotations in the same method as search the document itself.

## 3.5.14 Document Input and Scanning

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### 3.5.14.1 Population of the Repository


FCERA will use four potential methods of populating the document repository:

1. Users will create documents in the repository directly, using the either the PAS user interface or the EDMS user interface
2. Users will import soft copy documents into the repository from their PC
3. A document librarian will scan hard copy documents using image capture software and will release the image into the repository
4. A technical resource will batch import documents into the EDMS using a script and index file<sup>5</sup>

The EDMS must be capable of handling all four of these methods. Methods (1) and (2) must be highly intuitive to users with basic PC skills. FCERA would expect that (3) will require system configuration and the development of release scripts to ensure the scanned documents will be placed in the appropriate folder of the system. Once the EDMS is configured, FCERA would expect a trained staff member to be able to act as the document librarian and to operate the scan station.

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<sup>5</sup> This is the primary method of import for a backfile conversion

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### 3.5.14.2 Scan Process

FCERA will use a full-featured production scanner capable of 10,000 sheets per day throughput. It is expected that the normal daily throughput will be in the several dozen sheets, but FCERA will have an occasional business requirement for considerably more sheets per day.


FCERA will need a scanner that has all standard features common in a commercial grade scanner, including a document feeder, can scan front and back simultaneously, has image enhance technology such as Virtual ReScan (VRS), and other features to ensure reliable scanning operations. FCERA will use industry standard image acquisition software to capture the image from the scanner, perform QA, assign initial index values, and release the image to the repository.

The scanner and scan software must meet the following requirements:

1. Ability to perform batch scanning
2. Ability to assign customizable batch names
3. Allow batch import into EDMS
4. Automated indicator for inferior quality scanned document that falls below a given tolerance or the inability to read bar code
5. Ability to read barcodes to populate document repository
6. Ability to perform OCR
7. Ability to rescan of single document within a batch
8. Ability to insert a page within a document
9. Ability to import TIFF and native format documents from “outside” EDMS
10. Ability to save multiple scanner setting files

An ‘Incoming Documents’ area will be needed to hold freshly scanned documents. This will act as a staging area for documents that have been imported or scanned to the repository, but have not been assigned to a target folder yet. Three subfolders will be needed:

- Bulk Import folder: The bulk import folder will be the target folder for documents imported into the repository using any kind of bulk import process. The folder will primarily be used for the ‘backfile’ conversion, where multiple thousand files (having multiple documents) will be scanned externally and will then be uploaded into the repository.
- Scanned Documents: The scanned documents folder is the target folder for all documents being scanned. From here, a workflow procedure will pick up the documents and assign them to their proper target location (which is for operations, a member folder).


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- Exceptions folder: The exceptions folder is a folder required by the scanning solution. The folder will be used as a temporary folder for review by the document librarian.

### **3.5.15 Document Retention, Deletion**

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The document retention policy will vary based on the type of the document and the processes it supports. In some cases, the electronic document can be destroyed entirely when policy specifies. In other cases, the information within the document can be retained and the electronic version of document destroyed per policy. In still other cases, some documents need to be retained forever.

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### 3.6 Data Points


Integration with PAS is an essential requirement for an EDMS solution.

Index File Specification to be completed per vendor specification, to include the member last name, first name, SSN, document type, document subtype, at a minimum.

## 4 Requirements

### 4.1 General Requirements

ReqID	Process	Requirement details	Priority
705.001	EDMS	The PAS will provide EDMS capability to fulfill the objectives and scope of the EDMS process.	1
705.002	EDMS	The EDMS will integrate with, or be a component of, the PAS product.	1
705.003	EDMS	The EDMS will provide the capability to import member-related files at implementation.	2
705.004	EDMS	The EDMS will provide the capability to support an evolutionary adoption of electronic document management and grow with FCERA.	2
705.005	EDMS	The EDMS will provide the capability to include non member-related files (administrative, legal, etc) when FCERA chooses to adopt those documents into the EDMS.	2
705.006	EDMS	The EDMS will provide role-based user security.	2
705.007	EDMS	The EDMS will be capable of being hosted on a server remote from the FCERA facility.	2
705.008	EDMS	The EDMS will be capable of being delivered as a Software as a Service (SaaS) model.	2
705.009	EDMS	The EDMS will provide the capability to export and restore the entire EDMS database, as well as the images.	2
705.010	EDMS	The EDMS will provide the capability to print the image of any document to a printer local to the user's computer.	2
705.011	EDMS	The EDMS will provide the capability to print the image of any document to a network printer.	2
705.012	EDMS	The EDMS will be compatible with both single and dual monitor configurations.	2
705.013	EDMS	The EDMS will provide the capability for users with appropriate security to delete documents from the repository.	2
705.014	EDMS	The EDMS will provide the capability to enforce rules-based document retention.	2
705.015	EDMS	The EDMS will provide the capability for non-technical staff at FCERA to modify the document retention rules.	2
705.016	EDMS	The EDMS will provide the capability to retain an abstract of a document and delete the document image.	2


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## 4.2 Document Routing Requirements

ReqID	Process	Requirement details	Priority
705.017	EDMS	The EDMS will provide a tailor-able automated workflow where FCERA can change the rules governing the routing of documents.	2
705.018	EDMS	The EDMS will provide the capability for non-technical FCERA staff to modify workflow rules without engaging the vendor.	2
705.019	EDMS	The EDMS will provide manual routing of documents to work groups.	2
705.020	EDMS	The EDMS will provide automatic routing to work groups based on rules that employ document type and other attributes.	2
705.021	EDMS	The EDMS will provide the capability for a user with a Supervisor role to override document routing.	2
705.022	EDMS	The EDMS will provide an audit trail containing all actions on and movements of documents within the workflow.	2
705.023	EDMS	The EDMS audit trail entry will contain, at a minimum, the document id/name, the action taken, the user or process making the action, and timestamp of the action.	2
705.024	EDMS	The EDMS will provide the capability for documents to follow a variety of lifecycle states. At the minimum, documents will be organized by a disposition schedule, and that schedule will have an Active and Retired lifecycle state.	2
705.025	EDMS	The EDMS will be capable of attaching lifecycle states to documents, and these states must be configurable by a system administrator.	2
705.026	EDMS	The EDMS will be capable of promoting and demoting documents to the various lifecycle states via workflow, folder location, or other means.	2
705.027	EDMS	The EDMS will provide the capability for users to route documents manually to one or more users of the EDMS/PAS, using a quick and intuitive function.	2
705.028	EDMS	The EDMS will allow the user to send documents to one or more email recipients.	2
705.029	EDMS	The EDMS routing capability will allow the user to enter a message indicating the purpose of the document.	2

## 4.3 Document Format Requirements

ReqID	Process	Requirement details	Priority
705.030	EDMS	<p>The EDMS will support importing and storing files of the following types/formats:</p> <ul style="list-style-type: none"> <li>MS Word '97 -2011</li> <li>MS PowerPoint '97</li> <li>MS PowerPoint 2002</li> <li>MS Excel'97-2011</li> <li>Adobe PDF and variants (PDF/A, Compact PDF, searchable PDF, Tiff</li> <li>Plain ASCII text</li> <li>RTF</li> <li>GIF</li> <li>JPEG</li> </ul>	1

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		.WK4 (Lotus Spreadsheet) XML XPS Compact XPS	
705.031	EDMS	The EDMS will provide the capability to directly import email messages as txt, pdf, rtf, and/or html.	2
705.032	EDMS	The EDMS will provide the capability to directly import email attachments of any supported document type.	2
705.033	EDMS	The EDMS will provide the capability to directly import Fax received.	4
705.034	EDMS	The EDMS will provide the capability to identify documents that have an encoded document identifier such as a printed on the document.	2


#### 4.4 Sizing, Capacity & Performance Requirements

ReqID	Process	Requirement details	Priority
705.035	EDMS	The EDMS will provide the capability to import incrementally the entire member 'back file', consisting of approximately 913,000 sheets.	1
705.036	EDMS	The EDMS will be capable of accommodating 10 million sheets with no user-perceived performance degradation of the PAS or EDMS.	1
705.037	EDMS	The EDMS will be capable of accommodating an annual files growth of at least 25,000 sheets per year.	2
705.038	EDMS	The EDMS solution must be sized at implementation to accommodate at least 3 million sheets.	2
705.039	EDMS	The EDMS will be capable of operating with no user-perceivable impact to normal PAS operations.	2


#### 4.5 Document Input and Scanning Requirements

ReqID	Process	Requirement details	Priority
705.040	EDMS	The EDMS will provide the capability to scan various paper sizes: US Letter, US Legal, loose leaf, #10 envelopes, #6 ½ envelopes, index cards 3 ½ x 5, 4x6, 4x5, partial sheets, and others.	1
705.041	EDMS	The EDMS will provide the capability to scan and store single-sided and double-sided sheets.	2
705.042	EDMS	The EDMS will provide the capability to scan various paper weights, 16#, 20#, card stock, onion, envelopes.	2
705.043	EDMS	The EDMS will provide the capability to scan various paper colors (white, pastels).	2
705.044	EDMS	The EDMS will provide the capability to scan various ink colors (black commercial, black laser, blank inkjet, colored inkjet, handwriting in black, blue, red, etc).	2
705.045	EDMS	The EDMS will provide the capability to scan sheets with hole-punches on	2



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		top, bottom, and/or sides without jamming.	
705.046	EDMS	The EDMS will provide the capability to scan Scanning various print resolutions (commercial print, laser print, ink jet print, handwriting).	2
705.047	EDMS	The EDMS will provide and automated Document feeder to support scanning.	2
705.048	EDMS	The EDMS will provide the capability to scan documents with taped appendages such as post-its, calculator tapes, hand-written notes, etc.	2
705.049	EDMS	<p>The EDMS will provide the capability for FCERA to use four potential methods of populating the document repository:</p> <ul style="list-style-type: none"> <li>• Users will create documents in the repository directly, either from the PAS user interface, or the EDMS user interface</li> <li>• Users will import soft copy documents into the repository</li> <li>• A document librarian will scan hard copy documents using image capture software and will release the image into the repository</li> <li>• A technical resource will batch import documents into the EDMS using a script and index file.</li> </ul>	2
705.050	EDMS	The EDMS will be capable of 10,000 sheets per day peak throughput and a normal daily throughput of 500 sheets.	2
705.051	EDMS	<p>The EDMS scanning capability must meet the following requirements:</p> <ul style="list-style-type: none"> <li>• Ability to perform batch scanning</li> <li>• Ability to assign customizable batch names</li> <li>• Allow batch import into EDMS</li> <li>• Automated indicator for inferior quality scanned document that falls below a given tolerance or the inability to read a barcode</li> <li>• Ability to read barcodes to populate document attributes</li> <li>• Ability to perform OCR</li> <li>• Ability to employ image enhancement tool such as Virtual ReScan (VSR)</li> <li>• Ability to rescan of single document within a batch</li> <li>• Ability to insert a page within a document</li> <li>• Ability to import TIFF and native format documents originating from sources outside the EDMS</li> <li>• Ability to save multiple scanner setting files</li> <li>• Ability to automatically correct for upside-down, rotated, and skewed documents</li> </ul>	2
705.052	EDMS	<p>The EDMS will provide the capability to place freshly scanned document images in Incoming document folders:</p> <ul style="list-style-type: none"> <li>• Bulk Import folder</li> <li>• Scanned Documents folder</li> <li>• Exceptions folder</li> </ul>	2
705.053	EDMS	The EDMS will provide the capability to index files in the Incoming document folder(s) and move them to the proper location in the repository.	2
705.054	EDMS	The EDMS will provide the capability to read and interpret a barcode located anywhere on a document.	2
705.055	EDMS	The EDMS will provide the capability to read and interpret a barcode forward and/or backward.	2
705.056	EDMS	The EDMS will provide the capability to read and interpret barcodes of	2

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		varying sizes on documents.	
705.057	EDMS	The EDMS will provide the capability to interpret a barcode checksum and use the checksum to validate the barcode that was read.	2
705.058	EDMS	The EDMS will provide the capability to interpret a barcode skewed up to 20 degrees from vertical or horizontal on the sheet.	2
705.059	EDMS	The EDMS will provide the capability to interpret a barcode on documents and automatically index the document based on the values encoded in the barcode.	2
705.060	EDMS	The EDMS will provide the capability for the user to view documents in the Incoming folders prior to indexing and filing, although the documents may not yet be accessible from the PAS environment.	2
705.061	EDMS	The EDMS will provide the capability for users to create documents in the repository via the PAS user interface and/or the EDMS user interface.	2
705.062	EDMS	The EDMS will provide the capability to create documents in repository using an existing template that is also in the repository.	2
705.063	EDMS	The EDMS will provide the capability to create new templates in the repository.	2

## 4.6 Search, Browse, and Retrieval

ReqID	Process	Requirement details	Priority
705.064	EDMS	The EDMS will provide the capability to retrieve documents from the repository using document attributes and/or combinations of attributes as search criteria.	1
705.065	EDMS	The EDMS search capabilities will allow searching by SSN, with or without dashes, to be the primary search criteria for retrieving documents.	2
705.066	EDMS	The EDMS will provide the capability for users to search on annotations, comments and redactions that are associated with a document, folder, or group of documents.	2
705.067	EDMS	The EDMS will provide the capability for users to browse the documents stored in the EDMS based on their user access permissions.	2
705.068	EDMS	The EDMS will provide the capability to search using any combination of record and/or folder metadata elements <i>utilizing full text search</i>	2
705.069	EDMS	The EDMS will provide the capability to specify partial matches and will allow designation of "wild card" fields or characters	2
705.070	EDMS	The EDMS will provide the capability to search using Boolean and relational operators: "and," "and not," "or," "greater than" (>), "less than" (<), "equal to" (=), and "not equal to" (<>), and provide a mechanism to override the default (standard) order of operator precedence	2
705.071	EDMS	The EDMS will present the user a list of documents and/or folders meeting the retrieval criteria, or notify the user if there are no document and/or folders meeting the retrieval criteria.	2
705.072	EDMS	The EDMS will provide the capability for the user to select and order the columns presented in the search results list for viewing, transmitting, printing, etc.	2

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705.073	EDMS	The EDMS will provide the capability to search for null or undefined values	2
705.074	EDMS	When the user selects a record for retrieval, the EDMS will present a list of available versions, defaulting to the latest version of the record for retrieval, but allowing the user to select and retrieve any version.	2
705.075	EDMS	The EDMS will provide the capability for the user to select any number of documents for retrieval from the search results list.	2
705.076	EDMS	The EDMS will provide the capability to abort a search.	2

#### 4.7 Document Editing Requirements


ReqID	Process	Requirement Details	Priority
705.077	EDMS	The EDMS will open documents in the repository as view-only as the default.	2
705.078	EDMS	The EDMS will provide the capability for the user to edit documents in the repository.	2
705.079	EDMS	The EDMS will provide the capability for the user to save an edited document as a new version of the document.	2
705.080	EDMS	The EDMS will prompt the user to confirm the next sequential version number of the document prior to completing the save operation.	2
705.081	EDMS	The EDMS will provide major and minor version numbers (1.0, 1.1, 1.2, 2.0, 2.1, etc for example)	2
705.082	EDMS	The EDMS will provide the capability for the user to override the suggested next sequential version number to be a custom value when necessary.	4
705.083	EDMS	The EDMS will prevent other users from making changes to a document that has been opened for editing. While others can view and print the document, only the user who has opened the document for editing can make/save changes to the document.	2
705.084	EDMS	The EDMS will provide an override capability available to user with proper permission to release documents that may be been locked for editing accidentally, so that other users may edit the document.	2

#### 4.8 Folder and Document Attributes


ReqID	Process	Requirement details	Priority
705.085	EDMS	The EDMS will employ a folder-based repository with a look and feel similar to Microsoft Outlook and Microsoft Windows.	1

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705.086	EDMS	<p>The EDMS will support a simple Folder Tree such as the following</p> <pre> Benefit Unit  →Members     →Name-SSN-Role        →Document 3        →etc...        →Document n     →Name-SSN     →etc... Legal Admin Disability Other categories </pre>	2
705.087	EDMS	<p>The EDMS will provide the following folder attributes, at a minimum</p> <ul style="list-style-type: none"> <li>• Name [Folder Name]</li> <li>• Title</li> <li>• Keywords</li> <li>• Folder Type</li> <li>• Last Modified (mm/dd/yyyy)</li> <li>• Checked Out by</li> <li>• Lifecycle state</li> <li>• Retention rules</li> <li>• Permissions</li> <li>• Member Last Name</li> <li>• Member First Name</li> <li>• Member SSN (###-##-####)</li> <li>• Member Status</li> <li>• Member Classification</li> <li>• Member Type/Role</li> <li>• Member Date of Birth</li> <li>• Associated SSN</li> </ul>	2
705.088	EDMS	<p>The EDMS will name folders using the following convention, or similar: Folder Display name = Last Name + last four digits of SSN + member/non-member designation. For example, John Smith, SSN = 999-00-1234, a member, would have the folder named: Smith_1234_MBR. If John Smith were also receiving benefits as a beneficiary, there would be a second folder named Smith_1234_BEN.</p>	2
705.089	EDMS	<p>The following list details the attributes for the <b>member</b> folders:</p> <ul style="list-style-type: none"> <li>• Folder Display name = Last Name + last four digits of SSN + member/nonmember designation. For example, John Smith, SSN = 999-00-1234, a member, would have the folder named: Smith_1234_MBR. If John Smith were also receiving benefits as a beneficiary, there would be a second folder named Smith_1234_BEN.</li> <li>• Last Name</li> <li>• First Name</li> <li>• SSN (###-##-####)</li> <li>• Date of Birth (MM/DD/YYYY)</li> </ul>	2

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		<ul style="list-style-type: none"> <li>• Member status (Active, Retired, Inactive, Terminated, Deceased, Disabled, Deferred)</li> <li>• Member Classification (General, Safety)</li> <li>• Member Type/Role (Member, Beneficiary, Alternate Payee)</li> <li>• Associated SSN(s) (for beneficiaries, in order to link them to the member) (###-##-####)</li> </ul>	
705.090	EDMS	<p>The EDMS will provide the following Document attributes, at a minimum:</p> <ul style="list-style-type: none"> <li>• Document Name</li> <li>• Title</li> <li>• Keywords</li> <li>• Document Type</li> <li>• Lifecycle state</li> <li>• Last Modified (mm/dd/yyyy)</li> <li>• Checked out by</li> <li>• Retention rules</li> <li>• Permissions</li> <li>• Member Last Name</li> <li>• Member First Name</li> <li>• Member SSN (###-##-####)</li> </ul>	2
705.091	EDMS	The EDMS will provide the capability for the user to edit the attributes of folders and documents, such as for member name changes (which happens often, due to marriage and divorce).	2
705.092	EDMS	The EDMS will employ inheritance for attributes so that documents within the member folders will inherit attributes from the folder containing them. For example, a change to a member's name will be reflected in the attributes of the folder as well as the attributes of the documents within the folder.	2
705.093	EDMS	The EDMS will provide the capability to rename folders and documents in response to a member's name change (which happens often, due to marriage and divorce).	2
705.094	EDMS	The EDMS will employ inheritance for folder names so that documents within the member folders will inherit changes to the name of the folder containing them. For example, a change to a member's name or SSN will be reflected in the name of the folder as well as the name of the documents within the folder.	2
705.095	EDMS	The EDMS will provide the capability to produce an audit log of all changes to document names and attributes, and folder names and attributes.	2
705.096	EDMS	The EDMS will provide the capability to associate searchable attributes to all documents.	2
705.097	EDMS	<p>The EDMS will name documents using the following convention, or similar:</p> <p style="text-align: center;"><b>DocumentType_LastName_LastFourDigitsSSN</b></p> <p>For example, an Application for Retirement for John Smith, SSN 456-67-5567, would be named:</p> <p style="text-align: center;"><b>Application_for_Retirement_Smith_5567</b></p>	2
705.098	EDMS	The EDMS will support storage of non-member payee files in their own folders, linked to member files and vice versa. (Recall that FCERA does not split accounts to accommodate non-member payees)	2

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705.099	EDMS	The EDMS will provide the capability for a FCERA user to set up new folders within the repository (for new members, as an example).	2
705.100	EDMS	The EDMS will provide the capability to interpret barcodes on documents and populate the document attributes with values encoded in the barcode.	2

## 4.9 Document Security Requirements

ReqID	Process	Requirement Details	Priority																
705.101	EDMS	The EDMS will provide a flexible model of groups, subgroups, and roles to facilitate the proper security and functional access to the documents.	1																
705.102	EDMS	<div>The EDMS will provide the following permission levels on documents</div> <div><ul style="list-style-type: none"><li>• No access – The user cannot see that the object exists.</li><li>• Browse – The user can see the document’s name but cannot view the document.</li><li>• Read – The user can view the properties and content.</li><li>• Annotate – The user can annotate the document.</li><li>• Version – The user can modify properties and content, but must create a new version of the document to effect the change.</li><li>• Edit – The user can modify properties and content and save as the same version.</li><li>• Delete – The user can delete the document</li></ul></div>	2																
705.103	EDMS	<div>The EDMS will provide the following User Security Groups to facilitate the application of proper security and functional access to the documents.</div> <table><tr><th>Role at FCERA</th><th>Description</th></tr><tr><td>Benefits Unit and support staff</td><td>The group of individuals that work within Benefits</td></tr><tr><td>Office Assistants (OA)</td><td>The group of individuals responsible for the general files associated with a member<sup>6</sup></td></tr><tr><td>FCERA IT Administrators &amp; Manager</td><td>Individuals that have administrative rights to the system</td></tr><tr><td>FCERA Management</td><td>Individuals responsible for managing the Operations group</td></tr><tr><td>Records Manager</td><td>Individuals responsible for disposition of records<sup>7</sup></td></tr><tr><td>Records Librarian</td><td>Individuals responsible for file maintenance</td></tr><tr><td>Accounting Unit</td><td>Individuals responsible for transaction reconciliation that may need to access a</td></tr></table>	Role at FCERA	Description	Benefits Unit and support staff	The group of individuals that work within Benefits	Office Assistants (OA)	The group of individuals responsible for the general files associated with a member <sup>6</sup>	FCERA IT Administrators & Manager	Individuals that have administrative rights to the system	FCERA Management	Individuals responsible for managing the Operations group	Records Manager	Individuals responsible for disposition of records <sup>7</sup>	Records Librarian	Individuals responsible for file maintenance	Accounting Unit	Individuals responsible for transaction reconciliation that may need to access a	2
Role at FCERA	Description																		
Benefits Unit and support staff	The group of individuals that work within Benefits																		
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FCERA IT Administrators & Manager	Individuals that have administrative rights to the system																		
FCERA Management	Individuals responsible for managing the Operations group																		
Records Manager	Individuals responsible for disposition of records <sup>7</sup>																		
Records Librarian	Individuals responsible for file maintenance																		
Accounting Unit	Individuals responsible for transaction reconciliation that may need to access a																		

<sup>6</sup> TBD: FCERA should consider if access to Member files need to be stratified within the Benefits Unit, so that senior staff members have more access/privilege than junior staff members

<sup>7</sup> The Records Manager will have the greatest level of access and authority over ALL FCERA documents.


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		<table><tr><td></td><td>member file<sup>8</sup></td></tr><tr><td>Clerical Support</td><td>Individuals who scan documents into the system</td></tr><tr><td>Outside Auditors</td><td>Read-only access for audit services</td></tr></table>		member file <sup>8</sup>	Clerical Support	Individuals who scan documents into the system	Outside Auditors	Read-only access for audit services	
	member file <sup>8</sup>								
Clerical Support	Individuals who scan documents into the system								
Outside Auditors	Read-only access for audit services								
705.104	EDMS	The EDMS will provide the capability for Administrators with the proper permissions to add or delete groups, change the permissions for groups, and assign individual users to groups at any time.	2						
705.105	EDMS	The EDMS will allow individual users to be members of more than one group, in which case the users will inherit the least restrictive privileges of all groups in which they are members.	2						

#### 4.10 Annotation Requirements

ReqID	Process	Requirement details	Priority
705.106	EDMS	The EDMS must offer an <b>annotation</b> tool. This application must be universal to all files in the repository; it must open any document format supported by the system.	1
705.107	EDMS	<p>The EDMS must have the following functionality regarding annotation:</p> <ul style="list-style-type: none"> <li>• The user must be able to add a comment of unlimited length in a text box that is visibly attached to any point in the document.</li> <li>• Username, date, and time stored automatically with the comment</li> <li>• The user must be able to strike-out using a line tool</li> <li>• The user must be able to redact (black out content) a document without changing the original content</li> <li>• The user must be able to use a circle or square tool to place a border of variable size in the document</li> <li>• The user must be able to change the color of the square or circle</li> <li>• The user must be able to highlight text</li> <li>• The user will be able to view or suppress the annotations</li> <li>• The user will be able to print the document with or without annotations</li> <li>• The application will be able to apply security to the annotations</li> </ul>	1
705.108	EDMS	The EDMS will provide the capability to save an annotated (or otherwise changed) document as new version of the document	2
705.109	EDMS	The EDMS will be able to use its full text search feature to search on comments stored as annotations. The EDMS will return the search results in annotations in the same method as search the document itself.	2

<sup>8</sup> TBD: Accounting will need to be able to view some member documents in order to process adjustments to 1099R, for example.

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#### 4.11 Index File Requirements

ReqID	Process	Requirement details	Priority
705.110	EDMS	The EDMS will interpret an index file per specification.	1
705.111	EDMS	The EDMS will produce index file per specification.	1


#### 4.12 Required FCERA Documents

ReqID	Process	Requirement details	Priority
705.112	EDMS	<p>The EDMS will scan and store the following FCERA <b>Affidavits</b> documents</p> <ul style="list-style-type: none"> <li>• Death Affidavit</li> </ul>	2
705.113	EDMS	<p>The EDMS will scan and store the following FCERA <b>Applications</b> documents</p> <ul style="list-style-type: none"> <li>• Application for Disability</li> <li>• Application for Service Retirement</li> <li>• Application for Retirement</li> </ul>	2
705.114	EDMS	<p>The EDMS will scan and store the following FCERA <b>Authorizations</b> documents</p> <ul style="list-style-type: none"> <li>• Authorization for Disclosure and Use of Protected Health Insurance Information</li> <li>• Information release for REFCO, Unions, IRC415b</li> </ul>	2
705.115	EDMS	<p>The EDMS will scan and store the following FCERA <b>Banking</b> documents</p> <ul style="list-style-type: none"> <li>• Direct Deposit EFT Boston Safe Deposit request forms</li> <li>• Member's banking institution change</li> <li>• Direct Deposit forms</li> <li>• Participant Payment Report</li> <li>• Stop, Cancel, Void request (Fifth Third Bank)</li> <li>• Bank of New York Check Register</li> <li>• Copies of checks</li> <li>• Payment Summary (copies of Check stub)</li> <li>• Pension &amp; Periodic Payment Authorization (Boston Safe Deposit &amp; Trust)</li> <li>• Form 1099R</li> <li>• Participant Payee Authorization Sheet</li> <li>• Wells Fargo payment change request</li> <li>• Pension Participant Check Ledger Detail Report</li> <li>• Participant Payment Report</li> <li>• Pension payment request Form</li> </ul>	2




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		<ul style="list-style-type: none"> <li>• ACH Return item report</li> </ul>	
705.116	EDMS	<p>The EDMS will scan and store the following FCERA <b>Beneficiary</b> documents</p> <ul style="list-style-type: none"> <li>• Beneficiary Change Forms</li> </ul>	2
705.117	EDMS	<p>The EDMS will scan and store the following FCERA <b>Certificates</b> documents</p> <ul style="list-style-type: none"> <li>• Birth Certificate</li> <li>• Death Certificate</li> <li>• Marriage Certificate</li> <li>• Driver's License</li> <li>• SSN Card</li> <li>• Wedding certificate, signed</li> <li>• Baptismal Certificate</li> </ul>	2
705.118	EDMS	<p>The EDMS will scan and store the following FCERA <b>Correspondence</b> documents</p> <ul style="list-style-type: none"> <li>• Annual Member Benefit Statements</li> <li>• Letter stating Retirement Contribution Balances</li> <li>• Memo in response to member request</li> <li>• Letters from Members</li> <li>• Letter to member regarding refund ineligibility for extra help</li> <li>• Letter to the member when limitation has been reached and County subsidy is to start</li> <li>• Misc letters to members</li> <li>• Lifetime Benefit Letter</li> <li>• Email</li> <li>• Faxes</li> </ul>	2
705.119	EDMS	<p>The EDMS will scan and store the following FCERA <b>Disability Documents</b></p> <ul style="list-style-type: none"> <li>• Report for Occupational Injury or Illness</li> </ul>	2
705.120	EDMS	<p>The EDMS will scan and store the following FCERA <b>Divorce Documents</b></p> <ul style="list-style-type: none"> <li>• Divorce settlement document</li> <li>• Joinder</li> <li>• DRO</li> <li>• Decree (also called Judgment)</li> </ul>	2
705.121	EDMS	<p>The EDMS will scan and store the following FCERA <b>Employment Documents</b></p> <ul style="list-style-type: none"> <li>• Employees Pay Summary Inquiry</li> <li>• Employer/employee statements</li> <li>• Reciprocity Documents</li> <li>• Letter to member confirming reciprocity.</li> <li>• Reciprocity denial letter (Outgoing)</li> <li>• Intersystem Membership Advice</li> </ul>	2

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		<ul style="list-style-type: none"> <li>• Earn Codes</li> <li>• Employee History Card</li> <li>• Contributions History</li> <li>• Tier Enrollment</li> <li>• Tax Withholding Election Form for Excess Contributions</li> <li>• Corrections and instructions to County Personnel</li> </ul>	
705.122	EDMS	<p>The EDMS will scan and store the following FCERA <b>Estates and Trusts</b> documents</p> <ul style="list-style-type: none"> <li>• Family Trusts</li> </ul>	2
705.123	EDMS	<p>The EDMS will scan and store the following FCERA <b>Estimates &amp; Calculations</b> documents</p> <ul style="list-style-type: none"> <li>• Buyback research</li> <li>• Research</li> <li>• Notice of Final Compensation Recalculation</li> <li>• Salary verification for contribution adjustment</li> <li>• Calc Summary</li> <li>• Calc Audit Trail</li> <li>• Estimate letter</li> <li>• Request for Retirement Benefit Estimates</li> <li>• IRC415b Calculations</li> <li>• Age Adjustment Excel print</li> <li>• Audit trail which shows the age used for calculation</li> <li>• Member's Social Security estimate, if electing temporary annuity.</li> <li>• TAO Calculation</li> <li>• TAO Interest Calculation</li> <li>• Request for calculation of retirement allowance</li> <li>• Calculation of General Contributions</li> </ul>	2
705.124	EDMS	<p>The EDMS will scan and store the following FCERA <b>Excel prints</b> documents</p> <ul style="list-style-type: none"> <li>• various prints from excel</li> <li>• FCERA Pension Payment Form</li> </ul>	2
705.125	EDMS	<p>The EDMS will scan and store the following FCERA <b>File Notes</b> documents</p> <ul style="list-style-type: none"> <li>• Handwritten notes on thin yellow paper</li> </ul>	2
705.126	EDMS	<p>The EDMS will scan and store the following FCERA <b>File separators</b> documents</p> <ul style="list-style-type: none"> <li>• TERM/DEFER</li> <li>• MEMBERSHIP INFORMATION</li> </ul>	2
705.127	EDMS	<p>The EDMS will scan and store the following FCERA <b>Internal forms</b></p> <ul style="list-style-type: none"> <li>• Clerical instruction forms</li> </ul>	2
705.128	EDMS	<p>The EDMS will scan and store the following FCERA <b>Interoffice Memos</b></p>	2

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		documents • Interoffice memo - payroll deductions	
705.129	EDMS	The EDMS will scan and store the following FCERA <b>Legal Documents</b>  • Legal & Confidential Correspondence • Legal Opinions • Durable Power of Attorney and Nomination of Conservator	2
705.130	EDMS	The EDMS will scan and store the following FCERA <b>Member Information</b> documents  • FCERA Name and Address Change • Postal Name and Address Change • Name and Address Change Memo • Membership Information Card • ZIP Code lookup screen print • Request for change of beneficiary (legacy) • Enrollment Card • Employee Status Report	2
705.131	EDMS	The EDMS will scan and store the following FCERA <b>Other Documents</b>  • Dues • Current Account Balances • Tracking checklist • Yellow notes sheet • Agreement to Pay • Memo to payroll • Disability separator • FCERA Request Form	2
705.132	EDMS	The EDMS will scan and store the following FCERA <b>Payroll Documents</b>  • Payroll Calculations worksheet • Summary of Leave Payoff at Termination • Check register • Receipt of payment of health Insurance premium	2
705.133	EDMS	The EDMS will scan and store the following FCERA <b>Purchase &amp; Repayment</b> documents  • Service Purchase Forms • Service Purchase Contracts • Receipt of payment • Repayment agreement • Retired member Was/Is receiving allowance • Retired member Was/Is receiving allowance • Continuance forms • Request for Disposition of Member's retirement Contributions • Application for Retirement FCAC-252 (3/85)	2


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		<ul style="list-style-type: none"> <li>• Election of Retirement Allowance</li> <li>• Letter to Actuary at member retirement</li> <li>• Supplemental Cost of Living Adjustment</li> <li>• TAO Benefit</li> <li>• 9729 Underpayment</li> <li>• Retirement Calculation</li> <li>• COL Worksheet</li> <li>• Interest Calculation Worksheet</li> <li>• Retiree Health Insurance mass change listing</li> <li>• Social Security Estimate</li> <li>• Letter from Actuary with benefit amounts</li> </ul>	
705.134		<p>The EDMS will scan and store the following FCERA <b>Retirement</b> documents</p> <ul style="list-style-type: none"> <li>• Retired member Was/Is receiving allowance</li> <li>• Continuance forms</li> <li>• Request for Disposition of Member's retirement Contributions</li> <li>• Application for Retirement FCAC-252 (3/85)</li> <li>• Election of Retirement Allowance</li> <li>• Letter to Actuary at member retirement</li> <li>• Supplemental Cost of Living Adjustment</li> <li>• TAO Benefit</li> <li>• 9729 Underpayment</li> <li>• Retirement Calculation</li> <li>• COL Worksheet</li> <li>• Interest Calculation Worksheet</li> <li>• retiree Health Insurance mass change listing</li> <li>• Social Security Estimate</li> <li>• Letter from Actuary with benefit amounts</li> </ul>	2
705.135	EDMS	<p>The EDMS will scan and store the following FCERA <b>Screen Prints</b> documents</p> <ul style="list-style-type: none"> <li>• PENSIONS screens</li> <li>• Peoplesoft screens</li> </ul>	2
705.136	EDMS	<p>The EDMS will scan and store the following FCERA <b>Tax Withholding</b> documents</p> <ul style="list-style-type: none"> <li>• IRS W4</li> <li>• DE 4P</li> <li>• DE 4P</li> <li>• FCERA Withholding</li> <li>• Boston Company Withholding</li> <li>• State Withholding, request for other states</li> </ul>	2


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## 5 Appendix – Document Traits


FILE TYPE	DOCUMENT CLASS	DOCUMENT NAME / DOCUMENT TYPE	NUM PAGES	SINGLE SIDED?	Resolution Traits	Color Traits	Paper Traits
MEMBER FILES	Affidavits	Death Affidavit	1	y	VARIES	VARIES	VARIES
MEMBER FILES	Applications	Application for Disability	3+	y	NORMAL LASER PRINT	MULTI COLOR HANDWRITTEN NOTATIONS	NORMAL LETTER PAPER
MEMBER FILES	Applications	Application for Service Retirement	1	y	LOW RESOLUTION PRINT	MULTI COLOR HANDWRITTEN NOTATIONS	NORMAL LETTER PAPER
MEMBER FILES	Applications	Application for Retirement	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Applications	Application for Retirement	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Authorizations	Authorization for Disclosure and Use of Protected Health Insurance Information	3+	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Authorizations	Information release for REFCO, Unions, IRC415b	3+	Y	NORMAL LASER PRINT	VARIES	NORMAL LETTER PAPER
MEMBER FILES	Banking	Direct Deposit EFT Boston Safe Deposit request forms	1	y	LOW RESOLUTION PRINT	HANDWRITTEN NOTATIONS ON FORMS	ONION PAPER
MEMBER FILES	Banking	Member's banking institution change	1	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Banking	Direct Deposit forms	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Banking	Participant Payment Report	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Banking	Stop, Cancel, Void request (Fifth Third Bank)	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Banking	Bank of New York Check Register	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER

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<b>FILE TYPE</b>	<b>DOCUMENT CLASS</b>	<b>DOCUMENT NAME / DOCUMENT TYPE</b>	<b>NUM PAGES</b>	<b>SINGLE SIDED?</b>	<b>Resolution Traits</b>	<b>Color Traits</b>	<b>Paper Traits</b>
MEMBER FILES	Banking	Copies of checks	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Banking	Payment Summary (copies of Check stub)	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Banking	Pension & Periodic Payment Authorization (Boston Safe Deposit & Trust)	2	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Banking	Form 1099R	1	y	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	SMALLER THAN 8.5"X11" PAPER (VARIOUS)
MEMBER FILES	Banking	Participant Payee Authorization Sheet	1	y	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Banking	Wells Fargo payment change request	1	y	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Banking	Pension Participant Check Ledger Detail Report	2	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Banking	Participant Payment Report	3+	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Banking	Participant Payment Report	3	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Banking	Pension payment request Form	2	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Banking	ACH Return item report	1	y	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Beneficiary	Beneficiary Change Forms	2	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Certificates	Birth Certificate	1	y	VARIES	VARIES	NORMAL LETTER PAPER
MEMBER FILES	Certificates	Death Certificate	1	y	LOW RESOLUTION PRINT	HANDWRITTEN NOTATIONS ON FORMS	NORMAL LETTER PAPER
MEMBER FILES	Certificates	Marriage Certificate	1	y	VARIES	VARIES	NORMAL LETTER PAPER


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FILE TYPE	DOCUMENT CLASS	DOCUMENT NAME / DOCUMENT TYPE	NUM PAGES	SINGLE SIDED?	Resolution Traits	Color Traits	Paper Traits
MEMBER FILES	Certificates	Driver's License	1	y	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Certificates	SSN Card	1	y	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Certificates	Wedding ceremony, signed	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Certificates	Baptismal Certificate	1	y	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Correspondence	Annual Member Benefit Statements	2	n	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Correspondence	Letter stating Retirement Contribution Balances	1	y	NORMAL LASER TEXT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Correspondence	Memo in response to member request	1	y	NORMAL LASER TEXT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Correspondence	Letters from Members	1+	y	VARIES	VARIES	VARIES
MEMBER FILES	Correspondence	Letter to member regarding refund ineligibility for extra help	2+	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Correspondence	Letter to County when limitation has been reached and County subsidy is to start	2	y	NORMAL LASER TEXT	BLACK INK ON COLOR PAPER	NORMAL LETTER PAPER
MEMBER FILES	Correspondence	Letter to the member when limitation has been reached and County subsidy is to start	2	y	NORMAL LASER TEXT	BLACK INK ON COLOR PAPER	NORMAL LETTER PAPER
MEMBER FILES	Correspondence	Misc letters to members	1+	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Correspondence	Lifetime Benefit Letter	1	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Correspondence	Email	1+	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Correspondence	Faxes	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Disability Documents	Report for Occupational Injury or Illness	1	y	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER


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FILE TYPE	DOCUMENT CLASS	DOCUMENT NAME / DOCUMENT TYPE	NUM PAGES	SINGLE SIDED?	Resolution Traits	Color Traits	Paper Traits
MEMBER FILES	Divorce Documents	Divorce settlement document (MSA)	3+	Y	VARIES	VARIES	NORMAL LETTER PAPER
MEMBER FILES	Divorce Documents	Joinders	2+	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Divorce Documents	DRO	3+	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Divorce Documents	Decree (also called Judgement)	2+	Y	VARIES	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Employment Documents	Employees Pay Summary Inquiry	2+	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Employment Documents	Employer/employee statements	1	N	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LEGAL PAPER
MEMBER FILES	Employment Documents	Reciprocity Documents	2+	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Employment Documents	Letter to member confirming reciprocity.	2+	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Employment Documents	Reciprocity denial letter (Outgoing)	2+	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Employment Documents	Intersystem Membership Advice	1	y	NORMAL LASER TEXT	BLACK INK ON COLOR PAPER	NORMAL LETTER PAPER
MEMBER FILES	Employment Documents	Earn Codes	2+	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Employment Documents	Employee History Card	1	y	LOW RESOLUTION PRINT	HANDWRITTEN NOTATIONS ON FORMS	NORMAL LETTER PAPER
MEMBER FILES	Employment Documents	Employee History Card	1	y	HANDWRITTEN CORRESPONDENCE	MULTI COLOR HANDWRITTEN NOTATIONS	NORMAL LETTER PAPER
MEMBER FILES	Employment Documents	Contributions History	1+	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Employment Documents	Tier Enrollment	1	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Employment Documents	Tax Withholding Election Form for Excess Contributions	2	n	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	DOUBLE SIDED DOCUMENT




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FILE TYPE	DOCUMENT CLASS	DOCUMENT NAME / DOCUMENT TYPE	NUM PAGES	SINGLE SIDED?	Resolution Traits	Color Traits	Paper Traits
MEMBER FILES	Employment Documents	Corrections and instructions to County Personnel	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Estates and Trusts	Family Trusts	2+	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Estimates & Calculations	Buyback research	1	y	NORMAL LASER TEXT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Estimates & Calculations	Research	1	y	NORMAL LASER TEXT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Estimates & Calculations	Notice of Final Compensation Recalculation	4	y	NORMAL LASER TEXT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Estimates & Calculations	Salary verification for contribution adjustment	1+	y	NORMAL LASER TEXT	COLOR HIGHLIGHTING ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Estimates & Calculations	Calc Summary	1	y	NORMAL LASER TEXT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Estimates & Calculations	Calc Audit Trail	4+	y	NORMAL LASER TEXT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Estimates & Calculations	Estimate letter	1	y	NORMAL LASER TEXT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Estimates & Calculations	Audit Trail for termination process	4+	Y	NORMAL LASER TEXT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Estimates & Calculations	Request for Retirement Benefit Estimates	1	y	NORMAL LASER TEXT	BLACK INK ON COLOR PAPER	NORMAL LETTER PAPER
MEMBER FILES	Estimates & Calculations	IRC415b Calculations	3+	Y	NORMAL LASER TEXT	BLACK INK ON COLOR PAPER	NORMAL LETTER PAPER
MEMBER FILES	Correspondence	Memo to County to start the age adjustment	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Correspondence	Memo to Special Districts to make contributions adjustments in their systems based on age change.	1+	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Correspondence	Letter to member informing of the age change and the effective date of the contribution adjustments	1+	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER

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FILE TYPE	DOCUMENT CLASS	DOCUMENT NAME / DOCUMENT TYPE	NUM PAGES	SINGLE SIDED?	Resolution Traits	Color Traits	Paper Traits
MEMBER FILES	Estimates & Calculations	Audit trail which shows the age used for calculation	1+	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Estimates & Calculations	Member's Social Security estimate, if electing temporary annuity.	2	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Estimates & Calculations	TAO Calculation	6	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Estimates & Calculations	TAO Interest Calculation	3+	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Estimates & Calculations	Request for calculation of retirement allowance	1	y	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Estimates & Calculations	Calculation of General Contributions	7	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LEGAL PAPER
MEMBER FILES	Excel prints	various prints from excel	1+	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Excel prints	FCERA Pension Payment Form	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	File Notes	handwritten notes on thin yellow paper	1	y	VARIES	VARIES	NORMAL LETTER PAPER
MEMBER FILES	File separators	TERM/DEFER	1	y	NORMAL LASER TEXT	BLACK INK ON COLOR PAPER	CARD STOCK
MEMBER FILES	File separators	MEMBERSHIP INFORMATION	1	y	NORMAL LASER PRINT	BLACK INK ON COLOR PAPER	CARD STOCK
MEMBER FILES	internal forms	Clerical instruction forms	1	y	NORMAL LASER PRINT	BLACK INK ON COLOR PAPER	NORMAL LETTER PAPER
MEMBER FILES	Interoffice Memos	Interoffice memo - payroll deductions	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Legal Documents	Legal & Confidential Correspondence	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Legal Documents	Legal Opinions	2+	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER

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FILE TYPE	DOCUMENT CLASS	DOCUMENT NAME / DOCUMENT TYPE	NUM PAGES	SINGLE SIDED?	Resolution Traits	Color Traits	Paper Traits
MEMBER FILES	Legal Documents	Durable Power of Attorney and Nomination of Conservator	3	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Member Information	FCERA Name and Address Change	1	y	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Member Information	Postal Name and Address Change	1	y	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Member Information	Name and Address Change Memo	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Member Information	Membership Information Card	1	N	VARIES	VARIES	VARIES
MEMBER FILES	Member Information	ZIP Code lookup screen print	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Member Information	Request for change of beneficiary (legacy)	1	y	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Member Information	Enrollment Card	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	CARD STOCK
MEMBER FILES	Member Information	Employee Status Report	1	y	LOW RESOLUTION PRINT	GREENBAR PAPER	LARGER THAN 8.5"X11" PAPER (VARIOUS)
MEMBER FILES	Other Documents	Dues	1	y	LOW RESOLUTION PRINT	HANDWRITTEN NOTATIONS ON FORMS	CARD STOCK
MEMBER FILES	Other Documents	Current Account Balances	1	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Other Documents	Tracking checklist	1	y	NORMAL LASER PRINT	HANDWRITTEN NOTATIONS ON FORMS	SMALLER THAN 8.5"X11" PAPER (VARIOUS)
MEMBER FILES	Other Documents	Yellow notes sheet	1	y	LOW RESOLUTION PRINT	HANDWRITTEN NOTATIONS ON FORMS	NORMAL LETTER PAPER
MEMBER FILES	Other Documents	Agreement to Pay	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	TAPED APPENDAGE / ANNOTATIONS
MEMBER FILES	Other Documents	Memo to payroll	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER

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FILE TYPE	DOCUMENT CLASS	DOCUMENT NAME / DOCUMENT TYPE	NUM PAGES	SINGLE SIDED?	Resolution Traits	Color Traits	Paper Traits
MEMBER FILES	Other Documents	Disability separator	1	y	NORMAL LASER PRINT	BLACK INK ON COLOR PAPER	CARD STOCK
MEMBER FILES	Other Documents	FCERA Request Form	1	y	NORMAL LASER PRINT	HANDWRITTEN NOTATIONS ON FORMS	NORMAL LEGAL PAPER
MEMBER FILES	Payroll Documents	Payroll Calculations worksheet	3+	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LEGAL PAPER
MEMBER FILES	Payroll Documents	Summary of Leave Payoff at Termination	1	y	NORMAL LASER TEXT	BLACK INK ON WHITE PAPER	SMALLER THAN 8.5"X11" PAPER (VARIOUS)
MEMBER FILES	Payroll Documents	Check register	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Payroll Documents	Receipt of payment of health Insurance premium	1	y	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Purchase & Repayment	Service Purchase Forms	2+	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Purchase & Repayment	Service Purchase Contracts	2+	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Purchase & Repayment	Receipt of payment	1	y	NORMAL LASER PRINT	BLACK INK ON COLOR PAPER	SMALLER THAN 8.5"X11" PAPER (VARIOUS)
MEMBER FILES	Purchase & Repayment	Repayment agreement	3+	Y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Retirement Documents	Retired member Was/Is receiving allowance	1	y	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Retirement Documents	Retired member Was/Is receiving allowance	1	y	LOW RESOLUTION PRINT	HANDWRITTEN NOTATIONS ON FORMS	NORMAL LETTER PAPER
MEMBER FILES	Retirement Documents	Continuance forms	1	Y	UNKNOWN	VARIES	VARIES
MEMBER FILES	Retirement Documents	Request for Disposition of Member's retirement Contributions	2	n	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	DOUBLE SIDED DOCUMENT
MEMBER FILES	Retirement Documents	Application for Retirement FCAC-252 (3/85)	1	y	NORMAL LASER PRINT	COLOR INK ON COLOR PAPER	ONION PAPER

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FILE TYPE	DOCUMENT CLASS	DOCUMENT NAME / DOCUMENT TYPE	NUM PAGES	SINGLE SIDED?	Resolution Traits	Color Traits	Paper Traits
MEMBER FILES	Retirement Documents	Election of Retirement Allowance	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	ONION PAPER
MEMBER FILES	Retirement Documents	Letter to Actuary at member retirement	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	ONION PAPER
MEMBER FILES	Retirement Documents	Supplemental Cost of Living Adjustment	2	y	INK JET PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Retirement Documents	TAO Benefit	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Retirement Documents	9729 Underpayment	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Retirement Documents	Retirement Calculation	4	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Retirement Documents	COL Worksheet	6	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Retirement Documents	Interest Calculation Worksheet	3	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Retirement Documents	retiree Health Insurance mass change listing	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Retirement Documents	Social Security Estimate	1	y	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	SMALLER THAN 8.5"X11" PAPER (VARIOUS)
MEMBER FILES	Retirement Documents	Letter from Actuary with benefit amounts	1	y	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Screen Prints	PENSIONS screens	1+	y	INK JET PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Screen Prints	Peoplesoft screens	1+	y	INK JET PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Tax Withholding	IRS W4	2	n	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	SMALLER THAN 8.5"X11" PAPER (VARIOUS)
MEMBER FILES	Tax Withholding	DE 4P	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER

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<b>FILE TYPE</b>	<b>DOCUMENT CLASS</b>	<b>DOCUMENT NAME / DOCUMENT TYPE</b>	<b>NUM PAGES</b>	<b>SINGLE SIDED?</b>	<b>Resolution Traits</b>	<b>Color Traits</b>	<b>Paper Traits</b>
MEMBER FILES	Tax Withholding	DE 4P	4	n	LOW RESOLUTION PRINT	BLACK INK ON COLOR PAPER	LARGER THAN 8.5"X11" PAPER (VARIOUS)
MEMBER FILES	Tax Withholding	FCERA Withholding	2	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Tax Withholding	FCERA Withholding	2	n	LOW RESOLUTION PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Tax Withholding	FCERA Withholding	2	n	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	TAPED APPENDAGE / ANNOTATIONS
MEMBER FILES	Tax Withholding	FCERA Withholding	2	N	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Tax Withholding	Boston Company Withholding	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER
MEMBER FILES	Tax Withholding	State Withholding, request for other states	1	y	NORMAL LASER PRINT	BLACK INK ON WHITE PAPER	NORMAL LETTER PAPER

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## 4.4.710 Member Portal

### 1 Overview

The purpose of the Member Portal is to provide self-service to members for a number of routine tasks that would normally require the member to call FCERA. The portal will provide members with ready access to the member's information, while reducing the burden on FCERA for low-risk, high-burden tasks. The portal may also provide limited capabilities for the member to update his/her account information and submit electronic documents to FCERA.

### 2 Roles

PAS Role Name	Definition
Portal	A web site designed to provide information to authorized users only. The content of portal pages is tailored to the person logged on, unlike a web page which is available to the general public.

### 3 Process Overview

#### 3.1 Process Scope

The Member Portal will include the capabilities discussed below.

##### 3.1.1 User Security and Authentication


Access to the Portal will be via secure sign-on with a username/password.

The Portal will provide authentication techniques to ensure the member requesting credentials is in fact an FCERA member. Authentication techniques can include SSN, a series of security questions, image keys, account numbers, or combinations of these techniques.

The Portal will authenticate the request for initial username/password prior to allowing the user to create a username/password to access the Portal.

The Portal will provide the capability for the member to create his/her own username and password.

The Portal will require the member to obtain a new password if sign-on fails three consecutive times within a short period of time (one hour, for example). Ideally, the number of failed attempts and the period of time will be configurable by a FCERA administrator.

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The Portal will provide the capability for the member to establish a new username if the member has forgotten the username. Re-establishing a username will require that the user be authenticated again.

The Portal will provide the capability for the member to change the password and/or username at any time once signed-on successfully.

The member must agree to the terms of an End User Agreement before the member can create a username/password to the Portal. The End User Agreement will be written with simple wording that members will understand. Agreement to the End User Agreement will be via a checkbox at sign-up. FCERA attorneys will provide the text of the End User Agreement.

The Portal will employ role-based security schemes to control access to information.

### **3.1.2 View Member Information**

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The Portal will provide the capability for members to view their name and address information on file at FCERA. Addresses will be current in the PAS for retired, deferred, and inactive members. Address information for Active County members will be imported to the PAS from Peoplesoft on a bi-weekly basis. Address information for Special District Members may be outdated on the Portal until it is updated manually in the PAS by FCERA staff.

The Portal will provide the capability to member to view the data from their membership card on file at FCERA.

The Portal will provide the capability for members to view their beneficiary data on file at FCERA.

The Portal will provide the capability for retired members to view their own payment data, current as of the last refresh. The Portal will provide the capability for alternate payees and recipients of survivor continuances to view their own payment data, current as of the last refresh.

The Portal will provide the capability for active, deferred, and inactive members to view contribution and interest balance, both taxable and nontaxable, current as of the last refresh.


### **3.1.3 Calculators**

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The Portal will provide members with a basic benefit calculator. The basic benefit calculator will use the member's information available from the PAS that is appropriate to the calculation. The basic benefit calculator will allow members to do 'what if' calculations. The basic benefit calculator will accept manual inputs for final compensation, years of service, and age at retirement, and then produce an estimated benefit.

The Portal will provide members with a reverse benefit calculator. The reverse benefit calculator will accept the member's desired pension amount at retirement and then



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calculate what is required in terms of age, service, and final compensation to achieve that amount. The reverse benefit calculator will allow members to do 'what if' calculations. The reverse benefits calculator will use any information available from the PAS that is appropriate to the calculation, along with the option to include a service credit purchase.

The Portal will provide members with a contributions calculator to help the member estimate the amount the employer will be taking out of the paycheck for FCERA contributions. The contributions calculator will use any information available from the PAS that is appropriate to the calculation.

The Portal calculators will present the results in such a way that the member knows what the estimates are based upon.

The Portal will provide the capability for the member to print the results presented by the calculators.

### **3.1.4 Technical and System Administration**

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The Portal will operate from replicated data refreshed from the PAS, usually each business day. The refresh schedule will be maintained by FCERA. All data presented on the Portal will come from the PAS/EDMS and no other source.

The Portal will display the date and time of the last data refresh once the member has signed-on successfully.

The Portal will provide FCERA system administration personnel with role-based capabilities to maintain the portal. Such privileged tasks include locking members out of the Portal, resetting Portal passwords for members, creating username/password on behalf of a member, and other tasks normally delegated to system administrators and help desk roles.

The Portal will provide secure/encrypted transmission of all data on the Portal, including authentication and sign-on credentials.

The Portal will provide capabilities to authenticate a user who has called FCERA for technical support. The support personnel may need to have access to the member's authentication tools (security questions, image keys, etc) within the Portal in order to authenticate a caller.


### **3.1.5 1099R Reprints**

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The Portal will provide members with the capability to access reprints of 1099R forms for any year on file.

Currently, a payee calls FCERA for a 1009R reprint. FCERA submits the request to the Bank, who sends the 1099R to the payee. The bank stores the images of the 1099R documents; the images are not stored at FCERA.

The Portal will provide the capability to obtain 1099R prints via a hyperlink to the Bank where the member can login to request the reprint.

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Future considerations for the Portal providing access to 1099R reprints may be 1) issuing a request that FCERA will forward to the Bank, or 2) displaying and printing 1099R forms directly from the Portal. FCERA is aware of the need to either acquire, or provide programmatic access to, 1099R images from the Bank in order to provide direct display and print of 1099R forms online.

### **3.1.6 Lifetime Benefit Letter**

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The Portal will allow retirees and others who are receiving a lifetime benefit to request the FCERA Lifetime Benefit Letter. This frequently-requested letter serves to verify the guaranteed income for credit and loan applications. The letter requires signature by FCERA. The letter will be produced internally from data within the PAS when a request is received from the Portal and forwarded to a Retirement Coordinator.

### **3.1.7 Member counseling request**

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The Portal will allow a member to request a counseling session with a Retirement Coordinator. The request will be sent via email from a data entry form on the Portal. The data entry form will provide fields for the member to enter contact information and the nature of the request.

The email containing the request will be routed to a Retirement Coordinator who will schedule the session and inform the member. The Retirement Coordinator will enter the session in the PAS.

When the session is scheduled in the PAS, the date and time of the session will show on the member's Portal page, along with the name of the Retirement Coordinator with whom the member will meet.

### **3.1.8 Member Benefit Statements**

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The Portal will provide the capability for a member to generate a basic benefits statement from data within the PAS as of 12/31 of the current year or any prior year.

### **3.1.9 Banking information**

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FCERA's distribution bank offers a service to provide individual payees' access to banking documents such as check advices, 1099R, and withholding information. Except for the withholding certificates, these documents are not held internally at FCERA. FCERA will be exploring the costs associated with this service so that the Portal can link to the Bank service. This avoids the complexity (and risk) of either bringing images of the documents in-house or providing programmatic access from the Portal to the Bank's documents.

Banking documents will be available to retiree members and alternate payees, as well as recipients of survivor continuances.

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Check Advices are produced and stored at the Bank. The Portal will provide the capability for payees to obtain a copy of a Check Advice via a link to the Bank, where the member will login to request the Check Advice.

The Portal will provide a link to the Bank for the member to view federal and state tax withholding information. The State shown for withholding will be the State of the address at the Bank for the member. Withholding information is not available for international addresses.

The Portal will provide the capability for the member to print a Form W4P, which the member will complete, sign, and mail to change withholding information.

The Portal capability will not preclude programmatic access to these Banking documents in the future. FCERA does not foresee the need for a programmatic interface to the Bank in the short term. Likewise, the Portal will not preclude the serving of images of banking document from an in-house EDMS in the future.


The Portal will provide capabilities to alternate payee as well as members to access banking information. The information available via the Portal to alternate payees may be more limited than the information available to members.

### **3.1.10 Member Information**

The Portal will provide the member with commonly-requested information about the member's account, such as shown in the list below.

- a. What Tier am I contributing at?
- b. What is my current Final Compensation?
- c. What are my breaks in service (Portal must state that this data is unverified until retired)?
- d. Who are my beneficiaries on file at FCERA?
- e. What documents do I have on file? Birth certificate, death certificate, DROs, marriage certificate, etc
- f. For retirees, what Retirement Option did I choose and who is receiving what benefit?
- g. For retirees, by how much is the Temporary Annuity Option increasing my retirement benefit, and for how long?
- h. Member's employment history
- i. Date of member's original membership.
- j. Member's dates of service at each employer.
- k. All types of Service purchases and purchases pending

The Portal will advise the member to contact FCERA if information is incorrect.

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### **3.1.11 Branding**

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The Portal will provide the capability for FCERA staff to change the look of the portal for consistent branding with [www.fcera.org](http://www.fcera.org)

### **3.1.12 Accessibility and Usability**

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The Portal will use vocabulary that is member-friendly where possible. Terms like Tiers, Safety/General, Service Credit, etc. are familiar to users. Legal terms and terms used in the pension industry are not. However, vocabulary used on the portal must abide by IRS wording, where applicable.

The Portal will provide the capability to display an image of a Plan Sponsors' paystubs to a member with explanations of items on paystub.

The Portal will provide accessibility to members who may be unable to discern color. Choices that the user/member must make on the Portal will be depicted by color and text, if color is used at all.

The Portal will provide accessibility to members who are seeing-impaired. The Portal will provide the capability for the user to change the size of the font used to display content. The Portal will provide the capability to zoom in/out on content displayed as a pdf or image.

The Portal will provide accessibility to members who are not proficient with English. The Portal will provide the member with the option to display the content in English or Spanish.

### **3.1.13 Electronic signature**

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The Portal will provide the capability for the member to affix an electronic signature to documents. The electronic signature capability will allow the member to submit official changes as electronic documents via the Portal. While this capability is not a high priority for FCERA in the near-term, FCERA may wish to adopt electronic signature policies in the future.

### **3.1.14 Updating Member Information**

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At this time, FCERA does not require the capability to directly update member information from the Portal. FCERA wishes to continue receiving signed paper documents from members to affect information changes.

Where forms are particular to a member's account, the Portal will provide editable PDF forms where the member can either complete the form on-screen and print it, or print the empty form and complete it by hand.

Forms that are not particular to the member's account are available on [www.fcera.org](http://www.fcera.org).

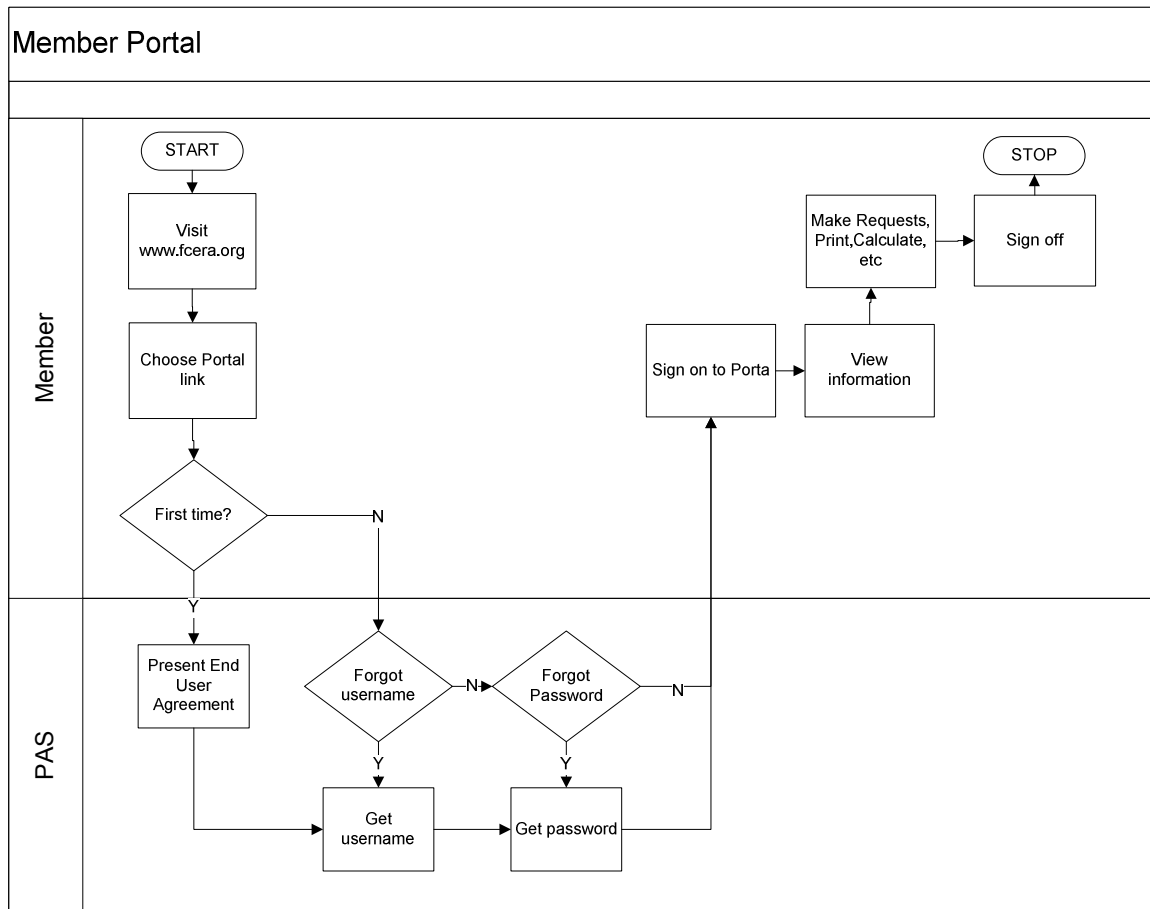
The Portal capability will not preclude direct update of member information in the future. When such capability is appropriate to FCERA's evolution, any updates submitted by the Portal user will require internal review prior to being updated in the PAS.

### 3.1.15 File upload

FCERA does not require digital file uploads via the Portal at this time and wishes to continue receiving signed paper documents.


Future capability for file uploads from the Portal might include scanned documents, photos, and other digital files as deemed appropriate.

## 3.2 Process Flow



## 3.3 Process Steps

As a portal is not really a 'process', but rather a collection of functions available to the members, the steps are very basic:

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1. Member visits [www.fcera.org](http://www.fcera.org) and chooses the Member Sign-in function
2. If this is the member's first time visiting, the member obtains a username and password.
3. If the member has forgotten the username/password, the member requests a new username or password.
4. Member signs on to portal
5. Member views information
6. Member chooses what to do with the information (print, update, request something from FCERA, calculate benefits, etc)
7. Member signs off the portal and is returned to the fcera.org website
8. If member requires technical assistance (such as for a locked account, password reset, etc), the member calls FCERA Portal Help Desk. The Help Desk will have access to information in the PAS to allow authentication of the caller.

### 3.4 Areas of Concern

1. FCERA does not yet have a policy regarding electronic signature. Therefore, FCERA prefers to continue receiving signed paper documents rather than allowing online updates from the Member Portal.
2. Reprinting 1099R forms directly from the Portal requires bringing the images (not the production) of the documents from the Bank in-house or developing a programmatic interface to the Bank to retrieve the document images. Likewise, images of Check Advices are at the Bank. Providing direct access to images of Check Advices to the member on the Portal would mean bringing the images (not the production) in-house or developing a programmatic interface to the Bank.
3. An individual can receive more than one payment from FCERA. The Portal must be able to discern how an individual is linked to master account(s). For example, a retired member may receive one check for the retirement benefit, and one check as the beneficiary of a deceased member.
4. The Portal/PAS must provide integration with EDMS functions. Aside from the specific documents mention above (1099R, check advices, etc), there is no immediate requirement to provide images of member documents via the Portal. However, FCERA does not want to preclude adopting the capability to display document images via the Portal at some future date.

### 3.5 Key Business Rules

1. For active members, the member's SSN is unique and can be used to obtain a username/password for the Portal. Once the initial sign-on is successful, the user will

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choose a unique username to use for subsequent sign-on. The member can change the username at any time once signed-on. For retirees and payees, SSN is not sufficient as a unique identifier, as an individual can receive payments as a retiree, a survivor/beneficiary, and/or an alternate payee. The payee's name plus either location code and/or date of retirement is the unique key for retirees and payees. Note that all three values might be necessary to achieve uniqueness, such as when two members retire on the same day, each naming the other as a beneficiary and then one of them dies.

2. If sign-on to the Portal is unsuccessful three times consecutively with a short period of time (perhaps one hour), the member must request a new password. A successful sign-on will reset the counter for unsuccessful attempts to zero.
3. The official name and address for the active County members comes from County payroll in the PSBiweekly import. For Special District members, the official name and address is entered manually at FCERA. FCERA and the Bank maintain the official name and address of payees.
4. Passwords to the Portal will be compliant with California information security regulations regarding secure passwords.

### **3.6 Data Points**

The main interface requirement for the Member Portal is the database replication from the master PAS database.


To display document images via the Portal, a programmatic interface to the EDMS will be required.

## **4 Analysis & Recommendation**

FCERA has no Member Portal capability at present. In collecting these requirements presented here, several priorities became evident

- User and data security is of utmost concern
- Limited data update capability from the Portal may be something that FCERA adopts over time
- Managing non-member payees' access to the Portal
- Data served externally must be from a replica database of live PAS data
- FCERA prefers to receive paper documents from members rather than scanned documents uploaded electronically by the member
- Having the images of banking and tax documents stored at the Bank presents a technical obstacle, as the Portal may have to redirect the user to the Bank website rather than FCERA displaying these documents directly



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Given all this, a phased implementation of Portal functionality seems most appropriate for FCERA. The PAS/Portal selected will allow FCERA to evolve its Portal as other PAS-related functions fall into place.

Potential early capabilities for the Portal could include basic account and service balances, benefit calculators, and the ability to request an appointment with FCERA staff. These capabilities carry a large amount of public relations value. In addition, the capability to request a Lifetime Benefit letter via the Portal is a quick win for retirees and helps to alleviate a common telephone request of the FCERA staff. Depending on the capabilities of the Portal to integrate with the Bank's Portal, the ability for a member or payee to request 1099R reprints would also be a great plus. Likewise, the capability for a member to view images of his/her documents on file at FCERA is worthy of consideration in the future.


A Portal deployment plan will be developed at FCERA when the specific capabilities of the selected PAS/Portal are known.

## 5 Requirements


The table below lists the formal requirements for the Member Portal capabilities of the PAS.

<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
710.001	Member Portal	The Member Portal will provide self-service capability to members for a number of routine tasks that would normally require the member to call FCERA.	1
710.002	Member Portal	Access to the Portal will be via secure sign-on with a username/password.	1
710.003	Member Portal	The Portal will provide authentication techniques to ensure the member requesting sign-on credentials is in fact an FCERA member. Authentication techniques can include SSN, a series of security questions, image keys, account numbers, or combinations of these techniques.	1
710.004	Member Portal	The Portal will authenticate the request for initial username/password prior to allowing the user to create a username/password to access the Portal. For active members, the member's SSN is unique and can be used to obtain a username/password for the Portal. For retirees and payees, SSN is not sufficient as a unique identifier, as an individual can receive payments as a retiree, a survivor/beneficiary, and/or an alternate payee. The payee's name plus either location code and/or date of retirement is the unique key for retirees and payees.	2
710.005	Member Portal	Once the initial sign-on is successful, the Portal will allow the user to choose a unique username to use for subsequent sign-on.	2
710.006	Member Portal	The Portal will provide the capability for the member to create his/her own username and password. Once the initial sign-on is successful, the user will choose a unique username to use for subsequent sign-on.	2
710.007	Member Portal	The Portal will provide the capability for the member to change	2




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ReqID	Process	Requirement details	Priority
		the username at any time once signed-on.	
710.008	Member Portal	The Portal will require the member to obtain a new password if sign-on fails three consecutive times within a short period of time. The number of failed attempts and the period of time allotted will be configurable by FCERA.	2
710.009	Member Portal	The Portal will reset the counter for unsuccessful sign-ons to zero upon a successful login.	2
710.010	Member Portal	The Portal will provide the capability for the member to establish a new username if the member has forgotten the username. Re-establishing a username will require that the user be authenticated again.	2
710.011	Member Portal	The Portal will provide the capability for the member to change the password and/or username at any time once signed-on successfully.	2
710.012	Member Portal	The Portal will require that a new user agree to the terms of an End User Agreement before the user can create a username/password to the Portal.	2
710.013	Member Portal	The Portal will employ role-based security schemes to control access to information.	2
710.014	Member Portal	Passwords to the Portal will be compliant with California information security regulations regarding secure passwords	2
710.015	Member Portal	The Portal will provide the capability for members to view their name and address information on file at FCERA. Addresses will be current in the PAS for retired, deferred, active special district members, and inactive members. Address information for Active County members will be imported to the PAS from Peoplesoft bi-weekly. Addresses for Special District Members will be updated manually in the PAS.	2
710.016	Member Portal	The Portal will provide the capability for members to view their beneficiary data on file at FCERA.	2
710.017	Member Portal	The Portal will provide the capability for members to view data from their membership card on file at FCERA.	2
710.018	Member Portal	The Portal will provide the capability for retired members to view their own payment data, current as of the last refresh.	2
710.019	Member Portal	The Portal will provide the capability for alternate payees and recipients of survivor continuances to view their own payment data, current as of the last refresh.	2
710.020	Member Portal	The Portal must be able to discern how an individual is linked to master member account(s).	2
710.021	Member Portal	The Portal will provide the capability for active, deferred, and inactive members to view contribution and interest balance, both taxable and nontaxable, current as of the last refresh.	2
710.022	Member Portal	The Portal will provide members with a basic benefit calculator. The basic benefit calculator will use the member's information available from the PAS that is appropriate to the calculation. The basic benefit calculator will allow members to do 'what if' calculations. The basic benefit calculator will accept manual inputs for final compensation, years of service, and age at retirement, and then produce an estimated benefit amount.	2
710.023	Member Portal	The Portal will provide members with a reverse benefit calculator. The reverse benefit calculator will accept the member's desired pension amount at retirement and then calculate what is required in terms of age, service, and final	4

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	<b>Member Portal</b>	

<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
		compensation to achieve that amount. The reverse benefit calculator will allow members to do 'what if' calculations. The reverse benefits calculator will use any information available from the PAS that is appropriate to the calculation and also provide the option to include a service credit purchase in the calculation.	
710.024	Member Portal	The Portal will provide members with a contributions calculator to help the member estimate the amount the employer will be taking out of the paycheck for FCERA contributions. The contributions calculator will use any information available from the PAS that is appropriate to the calculation.	2
710.025	Member Portal	The Portal calculators will present the results in such a way that the member knows what the estimates are based upon.	2
710.026	Member Portal	The Portal will provide the capability for the member to print the results presented by the calculators.	2
710.027	Member Portal	The Portal will operate from replicated data refreshed from the PAS, usually each business day. The refresh schedule will be maintained by FCERA. All data presented on the Portal will come from the PAS/EDMS and no other source.	2
710.028	Member Portal	The Portal will display the date and time of the last data refresh once the member has signed-on successfully.	2
710.029	Member Portal	The Portal will provide FCERA system administration personnel with role-based capabilities to maintain the Portal. Such privileged tasks include locking members out of the Portal, resetting Portal passwords for members, creating username/password on behalf of a member, and other tasks normally delegated to system administrators and help desk roles.	2
710.030	Member Portal	The Portal will provide secure/encrypted transmission of all data on the Portal, including authentication and sign-on credentials.	2
710.031	Member Portal	The Portal will provide capabilities to authenticate a user who has called FCERA for technical support. The support personnel may need to have access to the member's authentication tools (security questions, image keys, etc) within the Portal in order to authenticate a caller	2
710.032	Member Portal	The Portal will provide members with the capability to access reprints of 1099R forms for any year on file.	4
710.033	Member Portal	The Portal will provide the capability to obtain 1099R prints via a hyperlink to the Bank where the member can login to request the reprint.	4
710.034	Member Portal	The Portal will allow retirees and others who are receiving a lifetime benefit to request the FCERA Lifetime Benefit Letter. The letter will be produced internally from data within the PAS when a request is received from the Portal and forwarded to a Retirement Coordinator.	2
710.035	Member Portal	The Portal will allow a member to request a counseling session with a Retirement Coordinator. The request will be sent via email from a data entry form on the Portal. The data entry form will provide fields for the member to enter contact information and the nature of the request.	2
710.036	Member Portal	The email containing the request for a counseling session will be routed to a Retirement Coordinator who will schedule the session and inform the member. The Retirement Coordinator will enter the counseling session in the PAS.	2

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ReqID	Process	Requirement details	Priority
710.037	Member Portal	When the counseling session is scheduled in the PAS, the date and time of the session will show on the member's Portal page, along with the name of the Retirement Coordinator with whom the member will meet.	2
710.038	Member Portal	The Portal will provide the capability for a member to generate basic Benefit Statements as of 12/31 of the current year and/ or any prior year.	4
710.039	Member Portal	The Portal will provide a link to the Bank's portal where Banking documents are available to retiree members, alternate payees, and recipients of survivor continuances	2
710.040	Member Portal	Check Advices are produced and stored at the Bank. The Portal will provide the capability for payees to obtain a copy of a Check Advice via a link to the Bank, where the member will login to request the Check Advice.	4
710.041	Member Portal	The Portal will provide a link to the Bank for the member to view federal and state tax withholding information. The State shown for withholding will be the State of the address at the Bank for the member. Withholding information is not available for international addresses.	4
710.042	Member Portal	The Portal will provide the capability for the member to print a Form W4P, which the member will complete, sign, and mail to change withholding information.	2
710.043	Member Portal	The Portal capability will not preclude programmatic access to Banking documents in the future.	2
710.044	Member Portal	The Portal will not preclude the serving of images of Banking document from an in-house EDMS in the future.	2
710.045	Member Portal	The Portal will provide capabilities to alternate payee as well as members to access Banking information. The information available via the Portal to alternate payees may be more limited than the information available to members.	4
710.046	Member Portal	<p>The Portal will provide the member with commonly-requested information about the member's account, such as shown in the list below, for example.</p> <ol style="list-style-type: none"> <li>What Tier am I contributing at?</li> <li>What is my current Final Compensation?</li> <li>What are my breaks in service (Portal must state that this data is unverified until retired)?</li> <li>Who are my beneficiaries on file at FCERA?</li> <li>What documents do I have on file? Birth certificate, death certificate, DROs, marriage certificate, etc</li> <li>For retirees, what Retirement Option did I choose and who is receiving what benefit?</li> <li>For retirees, by how much is the Temporary Annuity Option increasing my retirement benefit, and for how long?</li> <li>Member's employment history</li> <li>Date of member's original membership.</li> <li>Member's dates of service at each employer.</li> <li>All types of Service purchases and purchases pending</li> </ol>	2
710.047	Member Portal	The Portal will advise the member to contact FCERA if information is incorrect.	2
710.048	Member Portal	The Portal will provide the capability for FCERA staff to change the look of the Portal for consistent branding with <a href="http://www.fcera.org">www.fcera.org</a>	2

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	<b>Member Portal</b>	

<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>
710.049	Member Portal	The Portal will use vocabulary that is member-friendly where possible. However, vocabulary used on the portal must abide by IRS wording, where applicable.	2
710.050	Member Portal	The Portal will provide the capability to display an image of a Plan Sponsors' paystubs to a member with explanations of items on paystub.	2
710.051	Member Portal	The Portal will provide accessibility to members who may be unable to discern color. Choices that the user/member must make on the Portal will be depicted by color and text, if color is used at all.	2
710.052	Member Portal	The Portal will provide accessibility to members who are seeing-impaired.	2
710.053	Member Portal	The Portal will provide the capability for the user to change the size of the font used to display content.	2
710.054	Member Portal	The Portal will provide the capability to zoom in/out on content displayed as a pdf or image.	2
710.055	Member Portal	The Portal will provide accessibility to members who are not proficient with English. The Portal will provide the member with the option to display the content in English, Spanish, and/or Hmong.	4
710.056	Member Portal	The Portal will provide the capability for the member to affix an electronic signature to documents.	4
710.057	Member Portal	Where forms are particular to a member's account, the Portal will provide editable PDF forms where the member can either complete the form on-screen and print it, or print the empty form and complete it by hand. (Forms that are not particular to the member's account are available on <a href="http://www.fcera.org">www.fcera.org</a> )	4
710.058	Member Portal	The Portal capability will not preclude direct update of member information in the future. When such capability is appropriate to FCERA's evolution, any updates submitted by the Portal user will require internal review prior to being updated in the PAS.	4
710.059	Member Portal	Future capability for file uploads from the Portal could include scanned documents, photos, and other digital files as deemed appropriate.	4
710.060	Member Portal	The Portal will be capable of integrating with EDMS functionality to display member file documents to the member on the Portal.	4

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## 4.4.800 Reporting

### 1 Overview

The objective of the PAS Reporting at FCERA is to provide repeatable reports that obtain dynamic content from the PAS. In this context, the word “report” is a broad term referring to financial reports, letters to members, statements, forms, estimates, checklists, and many others. Any tangible document can be a report.

### 2 Roles

PAS Role Name	Definition
Retirement Coordinator	The individuals at FCERA who are responsible for day-to-day member support and processing.
FCERA staff	“Staff” at FCERA refers to non-managers. Retirement Coordinators are staff, along with many other roles.

### 3 Process Overview

#### 3.1 Process Scope

Reporting is a collection of capabilities used to produce structured documents from data in the PAS. Generally, any document having the same look each time it is generated – only the numbers and other variable content changes – is a report. Reports can be generated on-demand or on a schedule.

Closely related to Reporting are ad-hoc query capabilities. Ad-hoc queries help you to find quick answers where output format is not of great concern. Reports, on the other hand, produce tangible documents according to a pre-defined template. Both concepts collect dynamic information from the database; it is the end result that differentiates them.

This document focuses on Reporting. Ad-hoc query capability is addressed in the various functional requirements for the PAS.

#### 3.2 Process Flow

No diagram is necessary.

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### 3.3 Process Steps

There are no process steps for Reporting.

### 3.4 Areas of Concern

FCERA staff currently use on-screen queries in PENSIONS, coupled with Excel and Word to create many of their reports. PENSIONS has basic reporting capability that is used to the extent possible (for example, generating letters to members). There is no mail merge capability in PENSIONS to support large mailings. Forms are pre-printed from Word and filled in by hand.

The reporting solutions must accommodate the computer skill level of FCERA non-technical staff. Knowledge of SQL will not be a pre-requisite to users building general reports. An expert-level capability can be provided for appropriately trained technical staff to create advanced reports.

FCERA has fairly modest reporting volume requirements when compared to large financial services organizations. The introduction of modern reporting capabilities will, no doubt, allow FCERA to increase the number of reports they current maintain. At certain times of the year, report volume may increase, but not to the level of thousands of pages of reports every day. The table below lists the high-demand volumes for reporting.

Document/Report	Frequency	Volume
COLA letter	Once annually	5000 retirees
Election notice	Once annually	Up to 12,000 members
Annual Statement	Once annually	2,000 to 10,000 members

The Reporting solution will integrate with the PAS and EDMS workflow functionality.

Some reports, such as Annual Benefit Statements, will be made available as pdf files to members from the Member Portal. The Reporting tool may also have a role in delivering dynamic content to the Member Portal. There is no requirement to deliver dynamic reports via the web to the general public.

FCERA wants to adopt barcode or other similar technology to support integration with EDMS and document routing. The reporting solution will be capable of generating barcodes and including those codes on certain output documents. The barcode will encode a document id, member information (not SSN or other sensitive fields), and other information to be determined.

### 3.5 Key Business Rules

There are no business rules particular to reporting.

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### 3.5.1 Currently Used Forms and Reports

The table below lists various Reports, Forms, and Letters use at FCERA. These documents are produced in PENSIONS, MSWord, Excel, or pre-printed. The list is not exhaustive and may change. FCERA expects the reporting capability of the PAS will be able to produce most, if not all, of these reports.

Form 1042 for Federal
Form 1099R for Federal and State
Cash deposit reconciliation report from PAS to compare with NAV
Financial Statements / CAFR
Reserve Balance Transaction Report to report the member transactions that affect the active and retired reserves
Signed affidavit from the retiree to reissue a payment
Activity Report containing information to aid in the contribution reconciliation process
Data for Small World Solutions (SWS) for death audit services
Death Report
FCERA Actuarial Extract Information, Active and Inactive information as of the Valuation Date
Memo to County to start the age adjustment
Memo to Special Districts to make contributions adjustments in their systems based on age change.
Letter to member informing of the age change and the effective date of the contribution adjustments
Audit trail which shows the age used for calculation
ISMA to notify/verify age change to reciprocal agency
Enrollment card
Annual statement of benefits for active members of Special Districts
Annual statement of benefits for differed/suspense members of Special Districts
Annual statement of benefits for differed/suspense members of the County
Board status report
New Retirements report
Request for benefit estimates
Address changes/ beneficiary update form
Agenda Item for board reporting shows listing of members
Retirement checklist: used to keep a record of which staff member counseled a particular member and what was discussed.
Checklist of disability retirement counseling session
Condolence letter - active death
Death benefit option form
Direct deposit form
Survivor beneficiary form
Request for death certificate
Request for marriage license
Request for birth certificate (for the Survivor(s)/beneficiaries if there is a benefit due to spouse and/or minor children)
Claimants Statement
Affidavit
Lump sum election form
Letter of guardianship of the minor child's Estate
Notification from the Employer - active death
Employment status change per pay period from County payroll import.
Term(ination) Letter
Form completed by member upon separation from FCERA, electing option for member contributions.



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Application for Disability
Release of Information form
Letter requesting information from various entities in support of disability retirement.
Medical reports from treating physician
Recommendation and Findings
Formal Letter of Decision
Letter acknowledgment of Filing for Disability Application
Letter to Confirm Independent Medical Examiner (IME) Appointment
Applicant's Records to IME Letter
Copy of IME Evaluation Report (sent to applicant) letter
Waiver of Right to Enroll in Rehabilitation Program
Request for Hearing Checklist
Retiree divorce checklist
Calculation audit trail for benefit estimate
Service Retirement – Calculation summary, Estimate
Estimate letter to member in response to inquiry
Control Total Summary Report to confirm balances between PAS and NAV
Rates used for interest posting
Test groups for interest posting
Finalize District Report - Report that marks interest transactions on District members as Reconciled
Interest Trial Balance - Excel worksheet used to verify account balances prior to interest posting
Service Retirement – Calculation summary
Letter to County when IRC415b limitation has been reached and County subsidy is to start
Letter to the member when IRC415b limitation has been reached and County subsidy is to start
Release of address information and dues to the Retired Employees of Fresno County (REFCO)
FCERA Lifetime Benefit Letter to verify the guaranteed income for credit and loan applications
Calculation Summary - new retirement
Audit Trail - new retirement
Options Form (and variations depending status of member)
Excel file for internal payroll unit
Beneficiary Change Form
Application for Retirement
Request for name and address change
Member's banking institution change
Retirement Allowance Option
The member's beneficiary's Social Security Number, birth certificate, and mailing address.
Member's Social Security estimate, if electing temporary annuity.
Activity reports
Deduction register
Variance Reports
File layout for Clovis Memorial
File layout for Fresno Mosquito and Vector Control District
File layout for Fresno-Madera Area Agency on Aging
Withholding Certificate for Pension or Annuity Payments W-4P
Withholding Certificate for Pension or Annuity Payment DE 4P
State Withholding, request for other states
Letter to member confirming reciprocity.
Sample calculation audit trail for deferred with reciprocity
Service Retirement – Calculation summary, Final - Deferred using New Highest Average Pay Definition
Sample outgoing ISMA to CalPers
Blank ISMA



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Reciprocity denial letter (Outgoing)
Letter to beneficiary to elect retirement options. Versions for Estate, Spouse, Other.
Cover letter for benefit options - letter to the member at retirement with the final benefit options
Letter to member with election to purchase form with options
Memo to Plan Sponsor to notify member's intent to purchase service credit.
Election to purchase form
Request for Service Credit
PENSIONS Reports used to support Tax Reporting
History Card showing employee history in PAS
Old Style History Card of employee history prior to PENSIONS
Letter to member regarding refund ineligibility for extra help
Special Districts Termination Reports
Audit Trail for termination process
Disposition Log – keep track of all refunds based on completed disposition forms.
Letter requesting member to return Disposition form with options selected.
Log that shows who the work is assigned to, date, member name, form name and due date.
Forms 1099R-Tax Filing with member and IRS
Forms DE 166-Tax Filing with the State of California
Forms DE 7-Tax Filing with the State of California
Forms IRS 945-Tax Filing with IRS
Waiver of membership (age 60 or older)
Non-Member Spouse Continuance Waiver (Deferred members only)
Request to be removed from non-FCERA initiated mailing lists
Intent to Establish Membership for Elected Official
Claims for bodily injury or death, damage to personal property or damage to growing crops
Request For Service Credit Calculation
Personal Information Waiver
Refunds report - reconciling refunds in PAS with Bank
Death benefits report- reconciling death benefits paid in PENSIONS with Bank
30-year Stop Report to identify members who meet the '30 year stops for contributions'.

## 4 Analysis and Recommendation

FCERA requires the capabilities of a mid-tier full-function reporting platform. The main uses for reports include research activities, letters of all types, member correspondence, estimates, workload management, forms of all types, and statistics.

FCERA's reporting expectations are consistent with similarly-sized public retirement systems. The staff wants to be able to include any field in the PAS database on a report, and needs a user interface to aid them in designing reports. There does not appear to be explicit need for advanced data mining and analysis capabilities at FCERA. Nor is there a need to support what is often referred to as high-volume document production.

Reporting tools are a frustration in every organization. There are many products available having such familiar names as WebObjects, Cognos, and Crystal Reports, to name a few. All the vendors pitch "our product allows anyone to create reports without the need for programming skills". Yet still, organizations do not have the capabilities they want; either

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the tools are too difficult for general staff to use or the capabilities of the tool are so shallow that the organization soon outgrows the product.

As any modern mid-tier reporting tool will move FCERA well beyond its current reporting capabilities, Linea Solutions recommends detailing the reporting requirements that are important to FCERA and including the requirements in the PAS solicitation. The PAS vendors will be instructed to either demonstrate they have the needed capabilities built-in to their PAS, or recommend a reporting partner who has proven to be effective with their PAS.

If the capabilities built-in to the PAS are adequate for the near-term requirements, FCERA may choose to postpone a decision on acquiring an advanced reporting package. In other words, first maximize the reporting capabilities that the PAS vendor can deliver. Then, see what the remaining gaps are around reporting and acquire a more sophisticated reporting environment to close those gaps.

Regardless of the strategy chosen, FCERA will need to keep these things in mind regarding reporting solutions:

- a. no product will meet all your expectations.
- b. the learning curve for creating meaningful reports from a relational database is significant, especially for non-technical staff accustomed to Excel. FCERA may wish to designate a staff member to become a reports developer.

## 5 Requirements

<b>ReqID</b>	<b>Process</b>	<b>Requirements detail</b>	<b>Priority</b>
800.001	Reporting	FCERA requires a full-function business Reporting tool.	1
800.002	Reporting	The Reporting solution will integrate with, and be accessible from, the PAS.	1
800.003	Reporting	The Reporting solution will integrate with, and be accessible from, the EDMS.	1
800.004	Reporting	The Reporting solution will integrate with the Member Portal functionality to deliver dynamic content, where appropriate.	4
800.005	Reporting	The Reporting solution will operate with the same relational database product that the PAS, Member Portal, and EDMS use (Microsoft SQLServer or Oracle).	4
800.006	Reporting	The Reporting solution will operate in a Microsoft Windows environment with TCP/IP networking.	2
800.007	Reporting	The Reporting solution will support the reporting volumes of a mid-size organization.	2
800.008	Reporting	The Reporting solution will not impact the computing performance of the PAS, EDMS, or Member Portal in any way as perceived by the users.	2
800.009	Reporting	The Reporting solution will provide the capability to design new reports from a blank template.	2

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<b>ReqID</b>	<b>Process</b>	<b>Requirements detail</b>	<b>Priority</b>
800.010	Reporting	The Reporting solution will provide the capability to design new reports based on a copy of an existing report definition.	2
800.011	Reporting	The Reporting solution will provide the capability for the user to specify the content for reports, using any data field in the PAS/EDMS/Portal databases.	2
800.012	Reporting	The Reporting solution will provide the capability for the user to specify the query conditions for reports, using any data field in the PAS/EDMS/Portal databases. All sql-standard logical operators and conditional constructs will be supported (list of values, range of values, dates and date ranges, exact value, greater/less than, include/exclude, sorts, etc)	2
800.013	Reporting	The Reporting solution will support all sql-standard query constructs and functions (grouping, sorting, select lists, math functions, string functions, etc).	2
800.014	Reporting	The Report tool will provide the capability to specify input parameters for reports.	2
800.015	Reporting	The Reporting solution will provide a user-friendly graphical user interface for non-technical staff to design reports.	2
800.016	Reporting	The Reporting solution will provide a more advanced user interface for technical staff to design reports.	2
800.017	Reporting	The Reporting solution will provide the capability to design reports for standard page sizes: US Letter, US Legal, 11x17, etc	2
800.018	Reporting	The Reporting solution will provide the capability to design reports for custom page sizes.	4
800.019	Reporting	The Reporting solution will provide the capability to design reports for standard envelope sizes: #10 business-sized envelopes, etc	2
800.020	Reporting	The Reporting solution will provide the capability to design reports for custom envelope sizes.	4
800.021	Reporting	The Reporting solution will provide the capability to design reports for various standard label sizes.	2
800.022	Reporting	The Reporting solution will provide the capability to design reports in landscape orientation.	2
800.023	Reporting	The Reporting solution will provide the capability to design reports in portrait orientation.	2
800.024	Reporting	The Reporting solution will provide the capability to design reports having page headers and footers whose content can be specified by the user designing the report.	2
800.025	Reporting	The Reporting solution will provide the capability to include automatic page numbering in the design of the report.	2
800.026	Reporting	The Reporting solution will provide the capability to calculate values in the report.	2
800.027	Reporting	The Reporting solution will provide user-interface access to all math, statistical, and string functions available in the relational database functionality.	2
800.028	Reporting	The Reporting solution will provide user-interface access to all math, statistical, and string functions particular to the Reporting tool (if any).	2
800.029	Reporting	The Reporting solution will provide the capability to produce reports in a tabular design of columns and rows.	2
800.030	Reporting	The Reporting solution will provide the capability to produce reports in a graphical design consisting of graphs, pie charts, bar charts, trend lines, etc based on actual data.	2
800.031	Reporting	The Reporting solution will provide the capability to include data-	2

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<b>ReqID</b>	<b>Process</b>	<b>Requirements detail</b>	<b>Priority</b>
		based graphical and tabular elements on the same report.	
800.032	Reporting	The Reporting solution will provide the capability to design drill-down reports.	2
800.033	Reporting	The Reporting solution will provide the capability to include existing report definitions as components of a report definition (i.e. sub-reports).	2
800.034	Reporting	The Reporting solution will provide the capability to include image files (gif, jpg, png, tif) in a report design.	2
800.035	Reporting	The Reporting solution will provide the capability for the user to specify the font, font size, and font styling (bold, underline, italic, color, etc) for any element of the report.	2
800.036	Reporting	The Reporting solution will provide the capability for the user to choose from pre-defined date and time formats.	2
800.037	Reporting	The Reporting solution will provide the capability for the user to define custom date and time formats.	2
800.038	Reporting	The Reporting solution will provide the capability for the user to choose from pre-defined formats for money amounts.	2
800.039	Reporting	The Reporting solution will provide the capability for the user to define custom formats for money amounts.	2
800.040	Reporting	The Reporting solution will provide the capability to include dollar signs (\$) on money amounts.	2
800.041	Reporting	The Reporting solution will provide the capability to include the thousands separator comma on money amounts.	2
800.042	Reporting	The Reporting solution will provide the capability for the user to include cosmetic graphic elements such as lines, curves, and shapes to enhance the appearance of the report.	2
800.043	Reporting	The Reporting solution will provide the capability for the user to specify styling (color, transparency, patterns, fill, etc) for cosmetic graphic elements in the report.	2
800.044	Reporting	The Reporting solution will provide the capability to control horizontal content alignment (left, right, center, justify) for any and all elements of the report.	2
800.045	Reporting	The Reporting solution will provide the capability to generate a barcode using a coding scheme appropriate to modern document processing.	4
800.046	Reporting	The Reporting solution will provide the capability to include the barcode on report outputs.	4
800.047	Reporting	The Reporting solution will provide the capability to include a check-sum character in a barcode.	4
800.048	Reporting	The Reporting solution will provide the capability for the report developer to place the barcode anywhere on the report design and orient the barcode vertically or horizontally to fit the report design.	4
800.049	Reporting	The Reporting solution will provide the capability for the report developer to specify the horizontal and vertical size of the barcode in the report design.	4
800.050	Reporting	The Reporting solution will provide the capability for FCERA to define the contents of a barcode in the report design.	4
800.051	Reporting	The Reporting solution will provide the capability for FCERA to base the contents of a barcode on both static and dynamic information. The dynamic information will not be known until the report is run.	4
800.052	Reporting	The barcode will support integration with the PAS/EDMS for automated workflow.	4

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	<b>Reporting</b>	

<b>ReqID</b>	<b>Process</b>	<b>Requirements detail</b>	<b>Priority</b>
800.053	Reporting	The Reporting solution will provide the capability to save report designs.	2
800.054	Reporting	The Reporting solution will provide the capability to name a report design with a name meaningful to the users.	2
800.055	Reporting	The Reporting solution will provide the capability to rename a report design with a name meaningful to the users.	2
800.056	Reporting	The Reporting solution will provide the capability to describe a report design in standard prose for easy recognition.	2
800.057	Reporting	The Reporting solution will provide the capability to modify existing report designs.	2
800.058	Reporting	The Reporting solution will provide the capability to delete existing report designs.	2
800.059	Reporting	The Reporting solution will provide the capability for the user to run any report on-demand at any time.	2
800.060	Reporting	The Reporting solution will provide the capability for the user to schedule any report to run recurrently at a specified time(s).	2
800.061	Reporting	The Reporting solution will provide the capability for the user to schedule reports to run once at a specified time.	2
800.062	Reporting	The Reporting solution will provide a reporting center where the library of stored report designs can be organized and categorized for easy access by the users.	2
800.063	Reporting	The Reporting solution will provide the capability to control user access to reports based on user roles.	2
800.064	Reporting	The Reporting solution will provide the capability for an administrator to assign one or more roles to a user.	2
800.065	Reporting	The Reporting solution will provide the capability for an administrator to define user roles.	2
800.066	Reporting	The Reporting solution will provide a fully-privileged administrator role that is capable of performing any and all functions in the Reporting tool environment.	2
800.067	Reporting	The Reporting solution will provide the capability to distribute reports as a hyperlink(s) to a location(s) on a server.	2
800.068	Reporting	The Reporting solution will provide the capability to distribute reports as email attachments to a list of one or more email addresses.	2
800.069	Reporting	The Reporting solution will provide the capability to notify a list of one or more email addresses when a report completed successfully.	2
800.070	Reporting	The Reporting solution will provide the capability to notify a list of one or more email addresses when a report did not complete successfully.	2
800.071	Reporting	The Reporting solution will provide the capability to send report output to the EDMS for inclusion in the member's file.	2
800.072	Reporting	The Reporting solution will provide the capability to perform automated mail-merge (for example, send a letter to a list of members meeting a certain criteria)	4
800.073	Reporting	The Reporting solution will provide the capability for the user to choose whether to include addressed envelope with the report output.	4
800.074	Reporting	The Reporting solution will provide the capability to output reports in formats compatible with commercial print shops.	2
800.075	Reporting	The Reporting solution will provide the capability to output reports to standard Postscript-compliant office and desktop printers.	2
800.076	Reporting	The Reporting solution will provide the capability to output reports	2

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	<b>Reporting</b>	

<b>ReqID</b>	<b>Process</b>	<b>Requirements detail</b>	<b>Priority</b>
		to standard PCL-compliant office and desktop printers.	
800.077	Reporting	The Reporting solution will provide the capability to output reports to uneditable pdf files.	2
800.078	Reporting	The Reporting solution will provide the capability to output reports as form-fill pdf files.	2
800.079	Reporting	The Reporting solution will provide the capability to output reports as editable Microsoft Word files (MSOffice 2003 and later).	2
800.080	Reporting	The Reporting solution will provide the capability to output reports as editable Microsoft Excel files (MSOffice 2003 and later).	2
800.081	Reporting	The Reporting solution will provide the capability to output reports as editable html files.	4
800.082	Reporting	The Reporting solution will provide the capability to output reports as fixed field-length editable plain text ascii files.	2
800.083	Reporting	The Reporting solution will provide the capability to output reports as field-delimited editable plain text ascii files.	2
800.084	Reporting	The Reporting solution will provide the capability for the user to name report output files with any valid Microsoft Windows filename.	2
800.085	Reporting	The Reporting solution will provide the capability to produce the reports, or equivalents, listed in the Currently Used Forms and Reports section above.	2

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## 4.4.802 - GL Integration

### 1 Overview

The PAS must be configured to allow the creation of an extract containing transactions affecting member and employer contributions, retiree payroll data and lump sum distributions. These data will be organized according to FCERA's current chart of accounts. The extract must be configured to ensure FCERA can produce the file in a flexible manner, such that the user can enter a transaction date range and specify a level of detail (i.e., summarized, detailed, etc.).

### 2 Process Overview

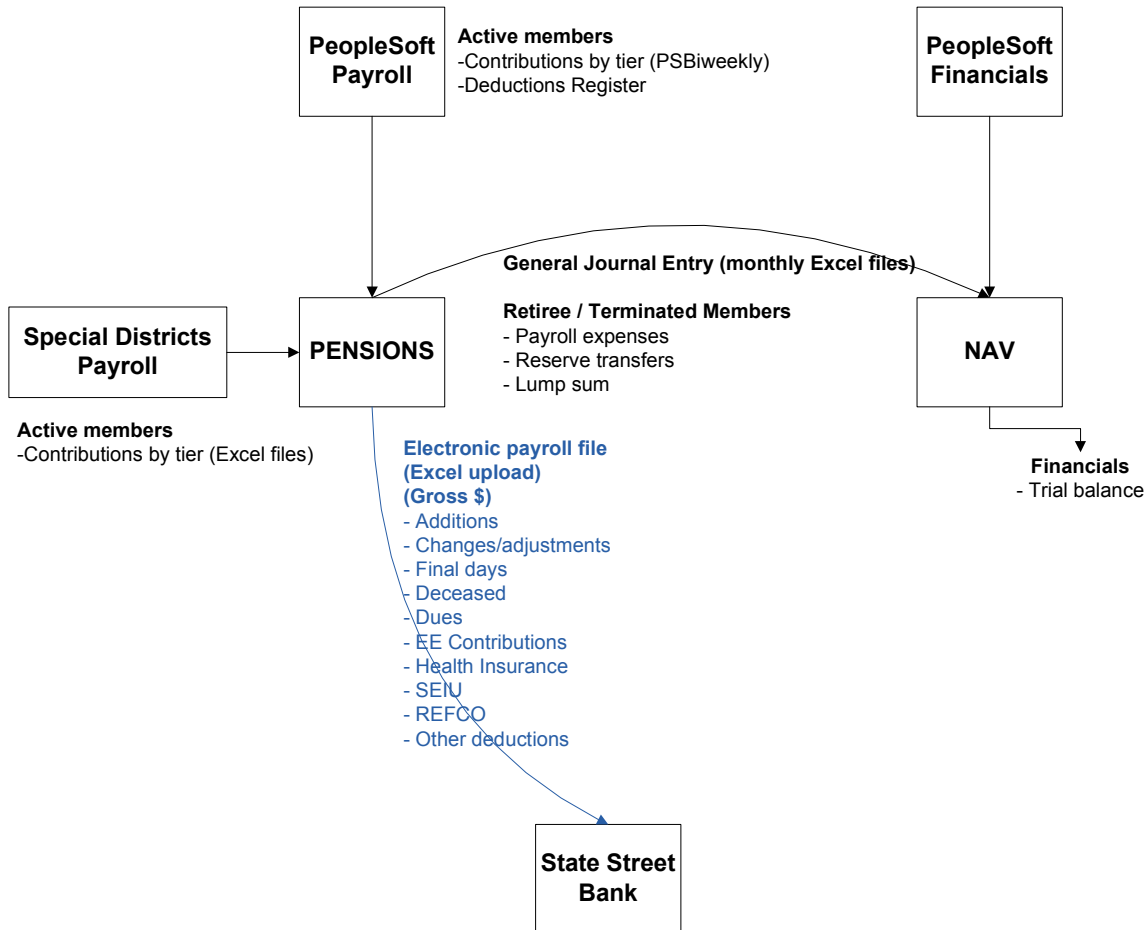
#### 2.1 Process Scope

Currently, FCERA obtains retiree payroll, employer and employee contributions, refunds and lump sum / final days payments through various excel spreadsheets to calculate the amounts to be included in the General Ledger. FCERA would like an extract file to GL of these transactions to import to the General Ledger. PAS must be configurable to allow these transactions.

The chart of accounts is included in this document in the Appendix.

#### 2.2 Current Process Flow





## 2.3 Process Steps

- Prepare payroll.
- Run termination and refunds in PENSIONS and send spreadsheet to State Street Bank.
- Take screenshots of contributions and demographics to capture contribution balances by type, and distribution code for tax purposes to include in the file to Bank.
- Manually create an Excel file and summarize to send to NAV. See Appendix for sample files for lump sum, retiree payroll and reserve transfers.

## 2.4 Areas of Concern

- The new PAS must provide monthly (1<sup>st</sup> through 31<sup>st</sup> of each month) totals for transactions (Summary for payroll journal). Use posting date, not effective date to catch back dated postings. PAS and NAV must have the same data and should not have any discrepancies.



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- The new PAS must create journal entries to post in NAV.
- Electronic payroll files that go to the Bank need to be summarized and sent to NAV from the new PAS.
- The new PAS must have the ability to add more deductions as needed.
- The new PAS must be able to accommodate dimensions in NAV. A dimension is simply a field such as tier or employer. General Ledger is categorized by general ledger account number and dimension. See Appendix for list of dimensions.
- Currently, check numbers and images are kept at the disbursement bank and not sent back PENSIONS. FCERA is interested in receiving check numbers, and possibly check images, into the PAS in the future. FCERA currently receives payment amount, date, and other information from the Bank after disbursements have been issued and imports this information into PENSIONS (see the Retiree Payroll document for the details of the current post-payment interface with the Bank).
- The new PAS must have the capability create a report showing stale dated or outstanding checks that were not cashed within 35 days of check date. There are cases where members either did not get the check or misplaced it. Check clearing is a banking function. PENSIONS does not have check clearing information.
- The new PAS must have the capability to start a workflow to follow up on stale dated or outstanding checks. The workflow will automatically generate a letter to the member when checks are not cashed and allow staff member to edit the letter prior to sending it to the member.

## 2.5 Key Business Rules

### 2.5.1 Chart of Accounts

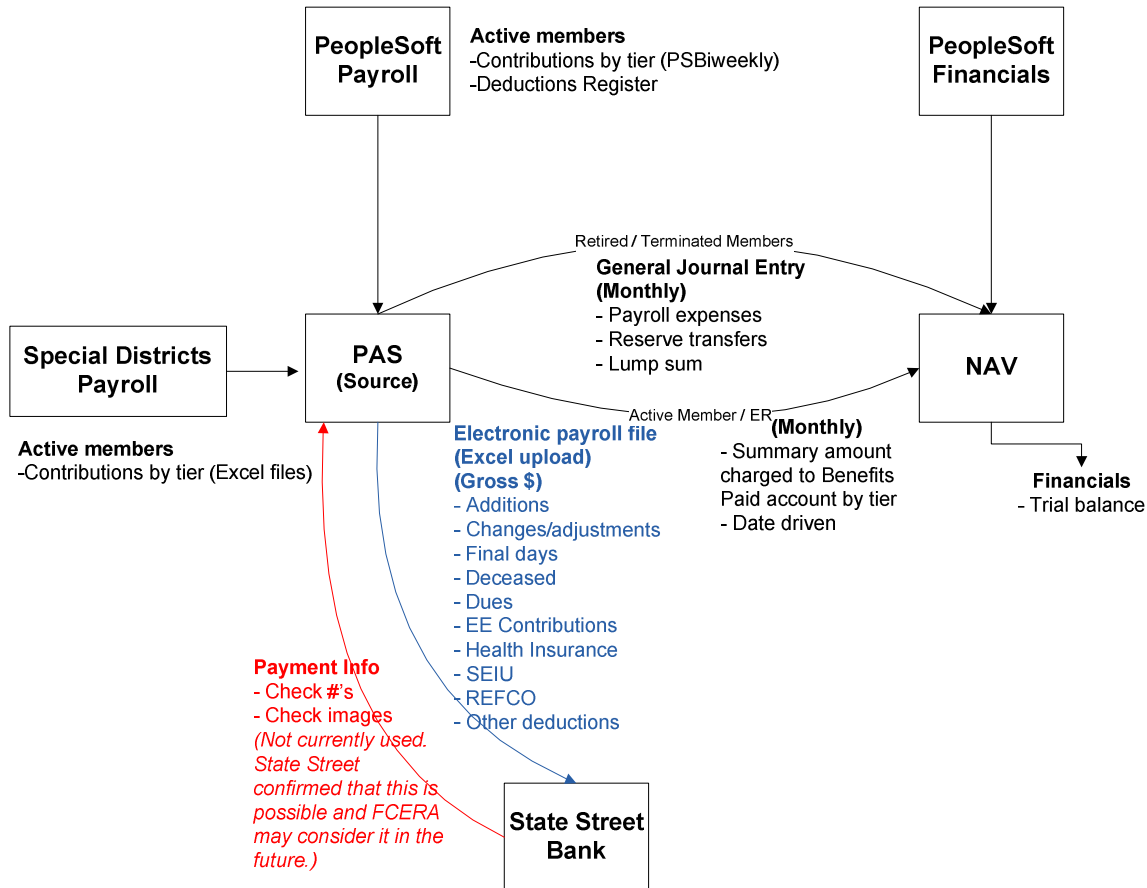
See Appendix A of this document for the list of Chart of Accounts and list of dimensions used in NAV General Ledger system.

### 2.5.2 Reports

Control totals – to confirm balances between PAS and NAV.

## 2.6 Data Points

FCERA would like to have the following configuration for the new system:



This document is for GL integration between PAS and NAV only, but other systems are included in the diagram for reference.

### 3 Analysis and Recommendation

FCERA has implemented Microsoft NAV General Ledger System and the new PAS must integrate with NAV to increase staff productivity and reduce data entry errors.

Currently, check number and image are not sent back to PENSIONS and are kept at the Bank. FCERA's preference would be to keep all pension disbursement information in the new PAS. This would be a new interface from the Bank and FCERA may consider it in the future.

FCERA's General Ledger system (NAV) utilizes account numbers as well as dimensions. The new PAS must take into consideration the relationship between account numbers and dimensions. Dimensions are used to look at financial data by user-defined categories: e.g. to track revenue by cost center or view expenses by department. Dimensions can also reduce the number of general ledger accounts needed on a chart of accounts. For instance, instead of having unique general ledger accounts for a certain expenses for each department, a single general ledger account for those expenses and a dimension for

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department. Each posting to the expense account will be tagged with the specific department value. As a result, it is possible to run the P&L by department.

## 4 Requirements

ReqID	Process	Requirement Detail	Priority
802.001	GL Integration	The PAS will provide the capability to create a General Ledger extract file to send to Microsoft Dynamics NAV General Ledger system.	1
802.002	GL Integration	The PAS will provide the capability to create a General Ledger extract file of member transaction data.	1
802.003	GL Integration	The PAS will provide the capability to create a General Ledger extract file, organized according to FCERA's current chart of accounts.	2
802.004	GL Integration	The PAS will provide the capability to enter a transaction date range when creating the interface file to NAV.  The new PAS must provide monthly (1 <sup>st</sup> through 31 <sup>st</sup> of each month) totals for transactions (Summary for payroll journal).	2
802.005	GL Integration	The PAS will provide the capability to specify a level of detail (i.e., summarized, detailed, etc...) to be included in the interface file to NAV.	2
802.006	GL Integration	The PAS will provide the capability to use posting date, not effective date, to catch back dated postings when creating the interface file to NAV.	2
802.007	GL Integration	The PAS will provide the capability to create journal entries for retired and terminated members to post in NAV and include those journal entries in the interface file to the General Ledger. The journal entries will be created for. <ul style="list-style-type: none"> <li>• Payroll expenses</li> <li>• Reserve transfers</li> <li>• Lump sum payments</li> </ul>	2
802.008	GL Integration	The PAS will provide the capability to create a monthly interface file for summary amounts charged to the Benefits Paid account by tier for active members to post in NAV.	2
802.009	GL Integration	The PAS will provide the capability to add more deductions as needed to include in the interface file to NAV.	2
802.010	GL Integration	The PAS will provide the capability to map to dimensions in NAV for GL integration. General Ledger is categorized by G/L account number and dimension.	2
802.011	GL Integration	The PAS will provide the capability to accept an interface file from the disbursement bank containing member payment data, and post that data to member records.	2
802.012	GL Integration	The PAS will provide the capability to create a report showing stale dated or outstanding checks that were not cashed within 35 days of check date.  There are cases where members either did not get the check or misplaced it. Check clearing is a banking function. PAS will receive check clearing information in a future interface from the disbursement bank.	2

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<b>ReqID</b>	<b>Process</b>	<b>Requirement Detail</b>	<b>Priority</b>
802.013	GL Integration	The PAS will provide the capability to start a workflow to follow up on stale dated or outstanding checks that come through the interface from disbursement bank.	2
802.014	GL Integration	The PAS will provide the capability to automatically generate a letter to member when checks are not cashed within 35 days and allow staff to edit the letter prior to sending it to member.	2

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## 5 Appendix – Sample files


### LUMP SUM DISTRIBUTION JOURNAL

CHECK DATE : 10/25/2010

					DEBIT	CREDIT
<b>ACTIVE REFUNDS</b>						
<b>GENERAL:</b>						
	Account	Dimension				
COL	50004	1	5002-0200		3,024.82	
BASIC	50002	1	5001-0100		5,494.47	
TIER 2 BASIC	50002	2	5001-0200		4,053.82	
TIER 2 COL	50004	2	5002-0300		3,027.93	
TIER 3 BASIC	50002	3	5001-0300		3,329.90	
TIER 3 COL	50004	3	5002-0400		2,063.16	
INTEREST	72980		7298		0.00	
SUPP EE ANNUITY	50003		5006-0600		2,097.89	
SUPP COL	50005		5005-0500		1,070.74	
DEATH BENEFIT	50202	1	5021-0500		0.00	
DEATH BENEFIT TIER 2	50202	2	5021-0505		0.00	
DEATH BENEFIT TIER 3	50202	3	5021-0530		0.00	
<b>SAFETY:</b>						
COL	50013		5004-0400		0.00	
BASIC	50011		5003-0300		0.00	
TIER 2 BASIC	50011		5003-0400		0.00	
TIER 2 COL	50013		5004-0500		0.00	
INTEREST	72980		7298		0.00	
SUPP EE ANNUITY	50012		5007-0700		0.00	
SUPP COL	50014		5008-0800		0.00	
DEATH BENEFIT	50211		5022-0600		40,001.30	
DEATH BENEFIT TIER 2	50211		5022-0606		0.00	
<b>RETIRED BENEFITS PAID</b>						
<b>GENERAL :</b>						
ANNUITY	50302		5101-0700		0.00	
CURR. SERVICE	50502		5121-0900		0.00	
SUPP. BENEFIT	50760		5053-1400		0.00	

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	COL	50740		5051-1200	0.00	
	SUPP. COL	50750		5052-1300	0.00	
	HEALTH BENEFIT (BOR)	50770		5105-1400	0.00	
	HEALTH BENEFIT (VS)	50780		5105-1500	0.00	
	SUPPLEMENTAL ANNUITY	50603		5124-0240	0.00	
	INTEREST	72980		7298	0.00	
RETIREED BENEFITS PAID						
SAFETY :						
	ANNUITY	50311		5103-0800	0.00	
	CURR. SERVICE	50511		5122-1000	0.00	
	SUPP. BENEFIT	50760		5053-1400	0.00	
	COL	50740		5051-1200	0.00	
	SUPP. COL	50750		5052-1300	0.00	
	HEALTH BENEFIT (BOR)	50770		5105-1400	0.00	
	HEALTH BENEFIT (VS)	50780		5105-1500	0.00	
	SUPPLEMENTAL ANNUITY	50612		5125-0250	0.00	
	INTEREST	72980		7298	0.00	
TOTAL LUMP SUM DISTRIBUTION/ LUMP SUM CLEARING ACCOUNT #1085						(64,164.03)

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	GL Integration		


**LUMP SUM DISTRIBUTION**

**JOURNAL**  
CHECK DATE :  
10/25/2010

Active  
Members

General

Social Security	Last Name	First Name of General Members	EE Refun ds Gen Col Tier 1 50004	EE Refun ds Gener al Ann TIER 1 50002	EE Refun ds Gener al Ann TIER 2 50002	EE Refunds Gen Col Tier 2 50004	EE Refun ds Gener al Ann TIER 3 50002	EE Refun ds Gen Col Tier 3 50004	Intere st 7298 0	EE Refun ds Gen Settle Ann 50003	EE Refun ds Gen Sup Col 50005				Gross
xxxxxxxxxx	Last Name	First Name			841.22	545.98	2202.74	1361.58							4,951.52
xxxxxxxxxx	Last Name	First Name	3024.82	5494.47						2097.89	1070.74				11,687.92
xxxxxxxxxx	Last Name	First Name			3212.60	2481.95									5,694.55
xxxxxxxxxx	Last Name	First Name					1127.16	701.58							1,828.74
															0.00
															0.00
															0.00
		<b>Total General</b>	3,024.82	5,494.47	4,053.82	3,027.93	3,329.90	2,063.16	0.00	2,097.89	1,070.74	0.00	0.00		24,162.73


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Active Members


Safety

Social Security	Last Name	First Name of Safety Members	EE Refunds Safety Col 50013	EE Refunds Safety Ann Tier 1 50011	EE Refunds Safety Ann Tier 1 50011	EE Refunds Safety Col Tier 2 50013			Interest 72980	EE Refunds Safe Settle Ann 50012	EE Refunds Safe Sup Col 50014				Gross
															0.00
															0.00
															0.00
															0.00
															0.00
		<b>Total Safety</b>	0.00	0.00	0.00	0.00			0.00	0.00	0.00	0.00	0.00		0.00




	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION		FCERA-PAS-REQ-802
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Active Deceased		General													
Social Security	Name of the Beneficiary (General)	Name of the Deceased Member	EE Refun ds Gen Col Tier 1 50004	EE Refun ds Gener al Ann TIER 1 50002	EE Refun ds Gener al Ann TIER 2 50002	EE Refun ds Gen Col Tier 2 50004	EE Refun ds Gener al Ann TIER 3 50002	EE Refun ds Gen Col Tier 3 50004	Intere st 72980	EE Refun ds Gen Settle Ann 50003	EE Refun ds Gen Sup Col 50005	Surv Deat h L/Su m Gen C/S Tier 1 5020 2	Surv Deat h L/Su m Gen C/S Tier 2 5020 2	Surv Deat h L/Su m Gen C/S Tier 3 5020 2	Gro ss
															0.00
															0.00
															0.00
															0.00
															0.00
															0.00
		<b>Total General</b>	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

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION		FCERA-PAS-REQ-802
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Active Deceased		Safety														
Social Security	Name of the Beneficiary (Safety)	Name of the Deceased Member	EE Refun ds Safety Col 50013	EE Refun ds Safety Ann Tier 1 50011	EE Refun ds Safety Ann Tier 1 50011	EE Refun ds Safety Col Tier 2 50013				Intere st 72980	EE Refun ds Safe Settle Ann 50012	EE Refun ds Safe Sup Col 50014	Surv Death L/Sum Saf C/S Tier 1 50211	Surv Deat h L/Su m Saf C/S Tier 2 50211		Gross
xxxxxxxxxx	Last Name	First Name											40001.30			40,001.30
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	GL Integration		

Retired  
Benefits Paid

General


Social Security	Name of the Beneficiary (General)	Name of the Deceased Members	Cost Of Living Adjustments 50740	EE Benefit Paid General Ann 50302	ER Benefits Paid Gen Cur Serv 50502	Settlement Benefit Adjust 50760			Interest 72980	ER Benefit Pd Gen Settlement Ann 50603	Supplemental Col Adjustments 50750	Benefit Pd Health Benefit BOR 50770	Benefit Pd Health Benefit VS 50780		Gross
			-												-
			-												-
			-												-
			-												-
			-												-
		<b>Total General</b>	-	-	-	-			-	-	-	-	-		-

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	GL Integration		

Retired  
Benefits Paid


Safety

Social Security	Name of the Beneficiary (Safety)	Name of the Deceased Members	Safe Col 50740	Safe Basic Annuity 50311	Current Service 50511	Supp Ben 50760		Interest 7298	Supp Ann 50612	Supp Col 5052-1300	Hlth Ben Bor 5105-1400	Hlth Ben VS 5105-1500		Gross
			-											-
			-											-
			-											-
		<b>Total Safety</b>	-	-	-	-		-	-	-	-	-		-


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### NAV Import

Posting Date	Document	Document	Ext. Document No. (Max 20 char)	Vendor No	/L Account	Description (max 50 char)	Amount	Mgr (Globa	Cost/Mark	Tier	Employer	Tfr	Exclude fro	Dim 8
10/31/2010			50002			10/25/10 Lump Sum Refun	5,494.47					1		
10/31/2010			50002			10/25/10 Lump Sum Refun	4,053.82					2		
10/31/2010			50002			10/25/10 Lump Sum Refun	3,329.90					3		
10/31/2010				50003		10/25/10 Lump Sum Refun					2,097.89			
10/31/2010			50004			10/25/10 Lump Sum Refun	3,024.82					1		
10/31/2010			50004			10/25/10 Lump Sum Refun	3,027.93					2		
10/31/2010			50004			10/25/10 Lump Sum Refun	2,063.16					3		
10/31/2010				50005		10/25/10 Lump Sum Refun					1,070.74			
10/31/2010			50202			10/25/10 Lump Sum Refun	0.00					1		
10/31/2010			50202			10/25/10 Lump Sum Refun	0.00					2		
10/31/2010			50202			10/25/10 Lump Sum Refun	0.00					3		
10/31/2010				72980		10/25/10 Lump Sum Refun					0.00			
10/31/2010			50011			10/25/10 Lump Sum Refun	0.00					1		
10/31/2010			50011			10/25/10 Lump Sum Refun	0.00					2		
10/31/2010				50012		10/25/10 Lump Sum Refun					0.00			
10/31/2010			50013			10/25/10 Lump Sum Refun	0.00					1		
10/31/2010			50013			10/25/10 Lump Sum Refun	0.00					2		
10/31/2010				50014		10/25/10 Lump Sum Refun					0.00			
10/31/2010			50211			10/25/10 Lump Sum Refun	40,001.30					1		
10/31/2010			50211			10/25/10 Lump Sum Refun	0.00					2		
10/31/2010				72980		10/25/10 Lump Sum Refun					0.00			
10/31/2010			50302			10/25/10 Lump Sum Refun	0.00					1		
10/31/2010			50502			10/25/10 Lump Sum Refun	0.00					1		
10/31/2010			50603			10/25/10 Lump Sum Refun	0.00					1		
10/31/2010			50740			10/25/10 Lump Sum Refun	0.00					1		
10/31/2010			50750			10/25/10 Lump Sum Refun	0.00					1		
10/31/2010			50760			10/25/10 Lump Sum Refun	0.00					1		
10/31/2010			50770			10/25/10 Lump Sum Refun	0.00					1		
10/31/2010			50780			10/25/10 Lump Sum Refun	0.00					1		
10/31/2010				72980		10/25/10 Lump Sum Refun					0.00			
10/31/2010			50311			10/25/10 Lump Sum Refun	0.00					1		
10/31/2010			50511			10/25/10 Lump Sum Refun	0.00					1		
10/31/2010			50612			10/25/10 Lump Sum Refun	0.00					1		
10/31/2010			50740			10/25/10 Lump Sum Refun	0.00					1		

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10/31/2010	50750	10/25/10 Lump Sum Refun	0.00	1
10/31/2010	50760	10/25/10 Lump Sum Refun	0.00	1
10/31/2010	50770	10/25/10 Lump Sum Refun	0.00	1
10/31/2010	50780	10/25/10 Lump Sum Refun	0.00	1
10/31/2010	72980	10/25/10 Lump Sum Refun	0.00	
10/31/2010	10700	10/25/10 Lump Sum Refun	(64,164.03)	

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION		FCERA-PAS-REQ-802
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	GL Integration		

### Payroll Balances


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CATE GORY	SURV IVOR	ANN UITY	CURR ENT SERV ICE	SETTL EMEN T ANNUI TY	SETTL EMEN T BENEFI T	COL	Healt h Bene fit (VS)	Healt h Bene fit 2 (BOR )	SUP COL	Inte rest	GROS S	INSUR ANCE	DU ES	ALIM ONY	CHIL D SUPP ORT/ PDUE CHIL D SUPP ORT	LEVY/ REPAY / DISB REPAY	EC PU R
Gener al		5101- 0700 1,295, 748.10	5121- 0900 5,378, 095.41	5124- 0240 1,396,73 1.85	5053- 1400 492,545. 79	5051- 1200 2,062, 613.15	5105- 1500 240,9 36.56	5105- 1400 458,7 77.47	5052- 1300 48,44 8.36	729 8 3,11 1.13	1080 11,377, 007.82	636,868 .96	1,63 5.00	500.0 0	1,748. 19	0.00	0.00
Gener al BP		14,626 .38	65,898 .34	7,841.55	17,113.4 1	67,807 .78	6,638 .62	12,95 1.76	14,91 3.72	1,09 5.46	208,88 7.02	11,070. 40	22.0 0	0.00	0.00	0.00	0.00
Gener al NSCD		18,466 .57	86,401 .51	11,782.1 2	14,763.0 0	50,541 .11	5,381 .40	11,04 0.00	5,239 .57	273. 42	203,88 8.70	12,669. 19	31.0 0	0.00	0.00		0.00
Gener al NSCD Benefi ciary		94.90	277.92	0.00	172.45	498.55	57.48	145.4 5	0.00	0.00	1,246.7 5	0.00	0.00	0.00	0.00	0.00	0.00
Gener al SCD Benefi ciary	1,772. 70	85.81	444.38	0.00	834.00	4,389. 31	186.0 0	397.0 0	4,752 .72	928. 07	12,017. 29	516.77	0.00	0.00	0.00	0.00	0.00
Gener al SCD		16,844 .88	104,93 8.30	13,018.6 1	9,651.00	63,410 .09	3,601 .20	7,984 .50	7,015 .69	342. 14	226,80 6.41	9,728.7 4	29.0 0	0.00	139.58	0.00	0.00


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General - QDRO		8,440.99	33,808.58	10,165.62	1,278.76	10,008.47	927.44	1,702.81	0.00	0.00	66,332.67	0.00	0.00	0.00	0.00		0.00
		<b>5103-0800</b>	<b>5122-1000</b>	<b>5125-0250</b>	<b>5053-1400</b>	<b>5051-1200</b>	<b>5105-1500</b>	<b>5105-1400</b>	<b>5052-1300</b>	<b>7298</b>	<b>1080</b>						
		259,775.95	1,071,672.44	255,302.73	63,145.21	401,940.69	32,584.45	59,414.50	12,054.96	0.00	2,155,890.93	78,017.59	161.00	1,400.00	2,289.00	2,389.93	0.00
Safety		5.95	672.44			0.69	4.45	4.50	4.96	0.00	90.93						
Safety BP		1,027.78	3,957.52	0.00	1,629.00	6,915.97	543.00	993.50	2,454.36	194.76	17,715.89	516.77	1.00	0.00	0.00		0.00
Safety NSCD			4,510.36			4,861.45	231.00	509.50	711.67		12,537.17	516.77	0.00	0.00	0.00		0.00
Safety NSCD Beneficiary		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
Safe-SCD Beneficiary		173.68	828.15	0.00	315.00	1,763.68	63.00	118.50	664.32	0.00	3,926.33	516.77	0.00	0.00	0.00	0.00	0.00
Safety SCD		42,161.63	244,546.70	29,595.12	14,323.45	111,326.13	5,885.71	11,622.01	4,859.69	0.00	464,320.44	14,932.29	32.00	0.00	790.00	0.00	0.00
Safety - QDRO		6,211.76	23,161.19	4,769.78	1,570.85	10,315.44	677.60	1,215.78	112.52	0.00	48,034.92	1,873.04	2.00	0.00	0.00		0.00
CATEGORY	SURVIVOR BENEFIT	ANNUITY	CURRENT SERVICE	SETTLEMENT ANNUITY	SETTLEMENT BENEFIT	COL	Health Benefit (VS)	Health Benefit 2 (BOR)	SUP COL	Interest	GROSS	INSURANCE	DUES	ALIMONY	CHILD SUPPORT	REPAY/DISB REPAY/FED LEVY	EC PUR
Survivor	5030-1100	5101-0700	5121-0900	5124-0240	5053-1400	5051-1200	5105-1500	5105-1400	5052-1300	7298	1080						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




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Survivor BP	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
Gen-Survivor	79,926.46	58.02	34.72	468.69	5,315.47	21,298.04	4,929.11	10,092.74	776.43	0.00	122,899.68	1,898.01	5.00	0.00	0.00	0.00	0.00
NSCD																	
Gen-Survivor	505.84	0.00	0.00	0.00	261.00	886.49	87.00	146.50	285.23	0.00	2,172.06	366.04	0.00	0.00	0.00	0.00	0.00
SCD																	
	5030-1100	5103-0800	5122-1000	5125-0250	5053-1400	5051-1200	5105-1500	5105-1400	5052-1300	7298	1080						
Safe-Survivor	5,876.28	0.00	0.00	0.00	885.00	3,290.42	315.00	621.00	830.35	178.32	11,996.37	1,015.20	2.00	0.00	0.00	0.00	0.00
NSCD																	
Safe-Survivor	23,226.44	0.00	0.00	0.00	431.25	7,536.97	234.00	474.73	424.67	0.00	32,328.06	1,243.38	0.00	0.00	0.00	0.00	0.00
SCD																	
	SURVIVOR BENEFIT	ANNUITY	CURRENT SERVICE	SETTLEMENT ANNUITY	SETTLEMENT BENEFIT	COL	Health Benefit (VS)	Health Benefit 2 (BOR)	SUP COL	Interest	GROSS	INSURANCE	DUES	ALIMONY	CHILD SUPPORT/ PDUE CHILD SUPPORT	REPAY /DISB REPAY	EC PUR


	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION		FCERA-PAS-REQ-802
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FCER A Totals which balanc e to R35	111,30 7.72	1,664, 315.49	7,018, 575.52	1,729,78 5.22	625,239. 64	2,829, 403.74	303,2 78.57	578,2 07.75	103,5 44.26	6,12 3.30	14,969, 781.21	771,749 .92	1,92 0.00	1,900. 00	4,966. 77	2,389.93	0.00
ADJU STED FCER A TOTA LS	111,30 7.72	1,664, 315.49	7,018, 575.52	1,729,78 5.22	625,239. 64	2,829, 403.74	303,2 78.57	578,2 07.75	103,5 44.26	6,12 3.30	14,969, 781.21						
BANK GRA ND TOTA LS - 2/22/ 11 Adjust ed STAT E STRE ET Variance	111,30 7.72	1,664, 315.49	7,018, 575.52	1,729,78 5.22	625,239. 64	2,829, 403.74	303,2 78.57	578,2 07.75	103,5 44.26	6,12 3.30	14,969, 781.21	771,749 .92	1,92 0.00	1,900. 00	4,966. 77	2,389.93	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


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### Retiree Payroll Journal Entry for NAV


Posting Date	Document No. (Max 20 char)	Document Date	Ext. Document No. (Max 20 char)	Vendor No. (Global)	G/L Account	Description (max 50 char)	Amount	Mgr (Global)	Cost/Market Adj	Tier	Employer	Tf	Exclude from Curr Year*	Dim 8
12/31/2010					50302	12/31/10 General Payroll	1,295,748.10				1			
12/31/2010					50502	12/31/10 General Payroll	5,378,095.41				1			
12/31/2010					50603	12/31/10 General Payroll	1,396,731.85				1			
12/31/2010					50760	12/31/10 General Payroll	492,545.79				1			
12/31/2010					50740	12/31/10 General Payroll	2,062,613.15				1			
12/31/2010					50780	12/31/10 General Payroll	240,936.56				1			
12/31/2010					50770	12/31/10 General Payroll	458,777.47				1			
12/31/2010					50750	12/31/10 General Payroll	48,448.36				1			
12/31/2010					72980	12/31/10 General Payroll	3,111.13				1			
12/31/2010							-							
12/31/2010					10700	12/31/10 General Payroll	11,377,007.82							
12/31/2010					50302	12/31/10 General BP Payroll	14,626.38				1			
12/31/2010					50502	12/31/10 General BP Payroll	65,898.34				1			
12/31/2010					50603	12/31/10 General BP Payroll	7,841.55				1			
12/31/2010					50760	12/31/10 General BP Payroll	17,113.41				1			
12/31/2010					50740	12/31/10 General BP Payroll	67,807.78				1			
12/31/2010					50780	12/31/10 General BP Payroll	6,638.62				1			
12/31/2010					50770	12/31/10 General BP Payroll	12,951.76				1			
12/31/2010					50750	12/31/10 General BP Payroll	14,913.72				1			
12/31/2010					72980	12/31/10 General BP Payroll	1,095.46				1			

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10					
12/31/20					
10		10700	12/31/10 General BP Payroll	-208,887.02	
12/31/20					
10		50302	12/31/10 General NSCD Payroll	18,466.57	1
12/31/20					
10		50502	12/31/10 General NSCD Payroll	86,401.51	1
12/31/20					
10		50603	12/31/10 General NSCD Payroll	11,782.12	1
12/31/20					
10		50760	12/31/10 General NSCD Payroll	14,763.00	1
12/31/20					
10		50740	12/31/10 General NSCD Payroll	50,541.11	1
12/31/20					
10		50780	12/31/10 General NSCD Payroll	5,381.40	1
12/31/20					
10		50770	12/31/10 General NSCD Payroll	11,040.00	1
12/31/20					
10		50750	12/31/10 General NSCD Payroll	5,239.57	1
12/31/20					
10		72980	12/31/10 General NSCD Payroll	273.42	1
12/31/20					
10		10700	12/31/10 General NSCD Payroll	-203,888.70	
12/31/20					
10		50302	12/31/10 General SCD Payroll	16,844.88	1
12/31/20					
10		50502	12/31/10 General SCD Payroll	104,938.30	1
12/31/20					
10		50603	12/31/10 General SCD Payroll	13,018.61	1
12/31/20					
10		50760	12/31/10 General SCD Payroll	9,651.00	1
12/31/20					
10		50740	12/31/10 General SCD Payroll	63,410.09	1
12/31/20					
10		50780	12/31/10 General SCD Payroll	3,601.20	1
12/31/20					
10		50770	12/31/10 General SCD Payroll	7,984.50	1
12/31/20					
10		50750	12/31/10 General SCD Payroll	7,015.69	1
12/31/20					
10		72980	12/31/10 General SCD Payroll	342.14	1
12/31/20					
10		10700	12/31/10 General SCD Payroll	-226,806.41	
12/31/20					
10		50302	12/31/10 General QDRO Payroll	8,440.99	1
12/31/20					
10		50502	12/31/10 General QDRO Payroll	33,808.58	1

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10					
12/31/20					
10	50603	12/31/10 General QDRO Payroll	10,165.62	1	
12/31/20					
10	50760	12/31/10 General QDRO Payroll	1,278.76	1	
12/31/20					
10	50740	12/31/10 General QDRO Payroll	10,008.47	1	
12/31/20					
10	50780	12/31/10 General QDRO Payroll	927.44	1	
12/31/20					
10	50770	12/31/10 General QDRO Payroll	1,702.81	1	
12/31/20					
10	50750	12/31/10 General QDRO Payroll	0.00	1	
12/31/20					
10	72980	12/31/10 General QDRO Payroll	0.00	1	
12/31/20					
10	10700	12/31/10 General QDRO Payroll	-66,332.67		
12/31/20					
10	50311	12/31/10 Safety Payroll	259,775.95	1	
12/31/20			1,071,672.4		
10	50511	12/31/10 Safety Payroll	4	1	
12/31/20					
10	50612	12/31/10 Safety Payroll	255,302.73	1	
12/31/20					
10	50760	12/31/10 Safety Payroll	63,145.21	1	
12/31/20					
10	50740	12/31/10 Safety Payroll	401,940.69	1	
12/31/20					
10	50780	12/31/10 Safety Payroll	32,584.45	1	
12/31/20					
10	50770	12/31/10 Safety Payroll	59,414.50	1	
12/31/20					
10	50750	12/31/10 Safety Payroll	12,054.96	1	
12/31/20					
10	72980	12/31/10 Safety Payroll	0.00	1	
12/31/20					
10	10700	12/31/10 Safety Payroll	2,155,890.93		
12/31/20					
10	50311	12/31/10 Safety BP Payroll	1,027.78	1	
12/31/20					
10	50511	12/31/10 Safety BP Payroll	3,957.52	1	
12/31/20					
10	50612	12/31/10 Safety BP Payroll	0.00	1	
12/31/20					
10	50760	12/31/10 Safety BP Payroll	1,629.00	1	

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12/31/20					
10	50740	12/31/10 Safety BP Payroll	6,915.97	1	
12/31/20					
10	50780	12/31/10 Safety BP Payroll	543.00	1	
12/31/20					
10	50770	12/31/10 Safety BP Payroll	993.50	1	
12/31/20					
10	50750	12/31/10 Safety BP Payroll	2,454.36	1	
12/31/20					
10	72980	12/31/10 Safety BP Payroll	194.76	1	
12/31/20					
10	10700	12/31/10 Safety BP Payroll	-17,715.89		
12/31/20					
10	50311	12/31/10 Safety NSCD Payroll	599.04	1	
12/31/20					
10	50511	12/31/10 Safety NSCD Payroll	4,510.36	1	
12/31/20					
10	50612	12/31/10 Safety NSCD Payroll	109.15	1	
12/31/20					
10	50760	12/31/10 Safety NSCD Payroll	1,005.00	1	
12/31/20					
10	50740	12/31/10 Safety NSCD Payroll	4,861.45	1	
12/31/20					
10	50780	12/31/10 Safety NSCD Payroll	231.00	1	
12/31/20					
10	50770	12/31/10 Safety NSCD Payroll	509.50	1	
12/31/20					
10	50750	12/31/10 Safety NSCD Payroll	711.67	1	
12/31/20					
10	72980	12/31/10 Safety NSCD Payroll	0.00	1	
12/31/20					
10	10700	12/31/10 Safety NSCD Payroll	-12,537.17		
12/31/20					
10	50311	12/31/10 Safety SCD Payroll	42,161.63	1	
12/31/20					
10	50511	12/31/10 Safety SCD Payroll	244,546.70	1	
12/31/20					
10	50612	12/31/10 Safety SCD Payroll	29,595.12	1	
12/31/20					
10	50760	12/31/10 Safety SCD Payroll	14,323.45	1	
12/31/20					
10	50740	12/31/10 Safety SCD Payroll	111,326.13	1	
12/31/20					
10	50780	12/31/10 Safety SCD Payroll	5,885.71	1	
12/31/20					
10	50770	12/31/10 Safety SCD Payroll	11,622.01	1	


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12/31/2010	50750	12/31/10 Safety SCD Payroll	4,859.69	1	
12/31/2010	72980	12/31/10 Safety SCD Payroll	0.00	1	
12/31/2010	10700	12/31/10 Safety SCD Payroll	-464,320.44		
12/31/2010	50311	12/31/10 Safety QDRO Payroll	6,211.76	1	
12/31/2010	50511	12/31/10 Safety QDRO Payroll	23,161.19	1	
12/31/2010	50612	12/31/10 Safety QDRO Payroll	4,769.78	1	
12/31/2010	50760	12/31/10 Safety QDRO Payroll	1,570.85	1	
12/31/2010	50740	12/31/10 Safety QDRO Payroll	10,315.44	1	
12/31/2010	50780	12/31/10 Safety QDRO Payroll	677.60	1	
12/31/2010	50770	12/31/10 Safety QDRO Payroll	1,215.78	1	
12/31/2010	50750	12/31/10 Safety QDRO Payroll	112.52	1	
12/31/2010	72980	12/31/10 Safety QDRO Payroll	0.00	1	
12/31/2010	10700	12/31/10 Safety QDRO Payroll	-48,034.92		
12/31/2010	50730	12/31/10 General Survivor NSCD Payroll	79,926.46	1	
12/31/2010	50603	12/31/10 General Survivor NSCD Payroll	468.69	1	
12/31/2010	50760	12/31/10 General Survivor NSCD Payroll	5,315.47	1	
12/31/2010	50740	12/31/10 General Survivor NSCD Payroll	21,298.04	1	
12/31/2010	50780	12/31/10 General Survivor NSCD Payroll	4,929.11	1	
12/31/2010	50770	12/31/10 General Survivor NSCD Payroll	10,092.74	1	
12/31/2010	50750	12/31/10 General Survivor NSCD Payroll	776.43	1	
12/31/2010	72980	12/31/10 General Survivor NSCD Payroll	0.00	1	
12/31/2010	10700	12/31/10 General Survivor NSCD Payroll	-122,806.94		
12/31/2010	50730	12/31/10 General Survivor SCD Payroll	505.84	1	


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12/31/2010	50603	12/31/10 General Survivor SCD Payroll	0.00	1
12/31/2010	50760	12/31/10 General Survivor SCD Payroll	261.00	1
12/31/2010	50740	12/31/10 General Survivor SCD Payroll	886.49	1
12/31/2010	50780	12/31/10 General Survivor SCD Payroll	87.00	1
12/31/2010	50770	12/31/10 General Survivor SCD Payroll	146.50	1
12/31/2010	50750	12/31/10 General Survivor SCD Payroll	285.23	1
12/31/2010	72980	12/31/10 General Survivor SCD Payroll	0.00	1
12/31/2010	10700	12/31/10 General Survivor SCD Payroll	-2,172.06	
12/31/2010	50730	12/31/10 Safety Survivor NSCD Payroll	5,876.28	1
12/31/2010	50612	12/31/10 Safety Survivor NSCD Payroll	0.00	1
12/31/2010	50760	12/31/10 Safety Survivor NSCD Payroll	885.00	1
12/31/2010	50740	12/31/10 Safety Survivor NSCD Payroll	3,290.42	1
12/31/2010	50780	12/31/10 Safety Survivor NSCD Payroll	315.00	1
12/31/2010	50770	12/31/10 Safety Survivor NSCD Payroll	621.00	1
12/31/2010	50750	12/31/10 Safety Survivor NSCD Payroll	830.35	1
12/31/2010	72980	12/31/10 Safety Survivor NSCD Payroll	178.32	1
12/31/2010	10700	12/31/10 Safety Survivor NSCD Payroll	-11,996.37	
12/31/2010	50730	12/31/10 Safety Survivor SCD Payroll	23,226.44	1
12/31/2010	50612	12/31/10 Safety Survivor SCD Payroll	0.00	1
12/31/2010	50760	12/31/10 Safety Survivor SCD Payroll	431.25	1
12/31/2010	50740	12/31/10 Safety Survivor SCD Payroll	7,536.97	1
12/31/2010	50780	12/31/10 Safety Survivor SCD Payroll	234.00	1
12/31/2010	50770	12/31/10 Safety Survivor SCD Payroll	474.73	1



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12/31/20		12/31/10	Safety	Survivor	SCD			
10	50750	Payroll				424.67	1	
12/31/20		12/31/10	Safety	Survivor	SCD			
10	72980	Payroll				0.00	1	
12/31/20		12/31/10	Safety	Survivor	SCD			
10	10700	Payroll				-32,328.06		
Grand Total Balance						0.00		

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION		FCERA-PAS-REQ-802
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### Reserve Balances

#### Fresno County Employees' Retirement Association Payroll Balances


#### RESERVES TO BE KEYED INTO NAV

February-11

RESERVES		ANNUITY	CURRENT SERVICE	COL	SETTLEMENT EMPLOYER (AS OF 3/3/10 SUPP BASIC)	SETTLEMENT EMPLOYEE (\$1.00)	SETTLEMENT EMPLOYEE (Actual)	SUP COL EMPLOYEE
	Debit	2001-0002	2021-0002	2002-0002	2024-0002	2006-0002	2006-0002	2005-0002
	Credit	3001-0001	3021-0001	3051-0001	3024-0001	3006-0001	3006-0001	3051-0001
General		769,036.64	4,178,113.40	304,838.56	1,263,161.17	(18.00)	113,636.49	47,443.09
General BP		0.00	0.00	0.00	0.00	0.00	0.00	0.00
General NSCD		8,183.73	66,255.72	3,166.05	17,715.65	(1.00)	2,496.67	1,124.81
General SCD		0.00	0.00	0.00	0.00	0.00	0.00	0.00
Gen-Survivor NSCD		14,791.50	12,602.94	2,561.42	640.11	(1.00)	640.11	0.00
Gen-Survivor SCD		0.00	0.00	0.00	0.00		0.00	0.00
RESERVES		ANNUITY	CURRENT SERVICE	COL	SETTLEMENT EMPLOYER (AS OF 3/3/10 SUPP BASIC)	SETTLEMENT EMPLOYEE (\$1.00)	SETTLEMENT EMPLOYEE (Actual)	SUP COL EMPLOYEE
	Debit	2003-0002	2022-0002	2004-0002	2025-0002	2007-0002	2007-0002	2008-0002
	Credit	3003-0001	3022-0001	3051-0001	3025-0001	3007-0001	3007-0001	3051-0001
Safety		117,597.68	581,783.23	60,988.80	169,031.97	(2.00)	5,814.25	3,057.74
Safety BP		0.00	0.00	0.00	0.00		0.00	0.00
Safety NSCD		0.00	0.00	0.00	0.00		0.00	0.00
Safety SCD		0.00	0.00	0.00	0.00	0.00	0.00	0.00


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Safe-Survivor NSCD	0.00	0.00	0.00	0.00	0.00	0.00
Safe-Survivor SCD	0.00	0.00	0.00	0.00	0.00	0.00


	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION		FCERA-PAS-REQ-802
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### Reserves Journal Entry for NAV


Posting Date	Document No. (Max 20 char)	Docu men t No. (Max 20 char)	Ext. Docu ment No. (Max 20 char)	Vendor No. (Global)	G/L Account	Description (max 50 char)	Amount	Mgr (Global)	Cost/Market Adj	Employer	Tfr	Exclude from Curr Year *	Dim 8
12/31/2010					20002	12/31/10 General Payroll Reserves	769,036.64				out		
12/31/2010					30302	12/31/10 General Payroll Reserves	(769,036.64)				in		
12/31/2010					20202	12/31/10 General Payroll Reserves	4,178,113.40				out		
12/31/2010					30502	12/31/10 General Payroll Reserves	(4,178,113.40)				in		
12/31/2010					20004	12/31/10 General Payroll Reserves	304,838.56				out		
12/31/2010					30740	12/31/10 General Payroll Reserves	(304,838.56)				in		
12/31/2010					20203	12/31/10 General Payroll Reserves	1,263,161.17				out		
12/31/2010					30603	12/31/10 General Payroll Reserves	(1,263,161.17)				in		
12/31/2010					20003	12/31/10 General Payroll Reserves	(18.00)				out		
12/31/2010					30403	12/31/10 General Payroll Reserves	18.00				in		
12/31/2010					20003	12/31/10 General Payroll Reserves	113,636.49				out		
12/31/2010					30403	12/31/10 General Payroll Reserves	(113,636.49)				in		
12/31/2010					20005	12/31/10 General Payroll Reserves	47,443.09				out		
12/31/2010					30740	12/31/10 General Payroll Reserves	(47,443.09)				in		

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12/31/2010	20002	12/31/10 General BP Payroll Reserves	0.00	out
12/31/2010	30302	12/31/10 General BP Payroll Reserves	0.00	in
12/31/2010	20202	12/31/10 General BP Payroll Reserves	0.00	out
12/31/2010	30502	12/31/10 General BP Payroll Reserves	0.00	in
12/31/2010	20004	12/31/10 General BP Payroll Reserves	0.00	out
12/31/2010	30740	12/31/10 General BP Payroll Reserves	0.00	in
12/31/2010	20203	12/31/10 General BP Payroll Reserves	0.00	out
12/31/2010	30603	12/31/10 General BP Payroll Reserves	0.00	in
12/31/2010	20003	12/31/10 General BP Payroll Reserves	0.00	out
12/31/2010	30403	12/31/10 General BP Payroll Reserves	0.00	in
12/31/2010	20003	12/31/10 General BP Payroll Reserves	0.00	out
12/31/2010	30403	12/31/10 General BP Payroll Reserves	0.00	in
12/31/2010	20005	12/31/10 General BP Payroll Reserves	0.00	out
12/31/2010	30740	12/31/10 General BP Payroll Reserves	0.00	in
12/31/2010	20002	12/31/10 General NSCD Payroll Reserves	8,183.73	out
12/31/2010	30302	12/31/10 General NSCD Payroll Reserves	(8,183.73)	in
12/31/2010	20202	12/31/10 General NSCD Payroll Reserves	66,255.72	out
12/31/2010	30502	12/31/10 General NSCD Payroll Reserves	(66,255.72)	in

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		Payroll Reserves			
12/31/2010	20004	12/31/10 General NSCD	3,166.05		out
		Payroll Reserves			
12/31/2010	30740	12/31/10 General NSCD	(3,166.05)		in
		Payroll Reserves			
12/31/2010	20203	12/31/10 General NSCD	17,715.65		out
		Payroll Reserves			
12/31/2010	30603	12/31/10 General NSCD	(17,715.65)		in
		Payroll Reserves			
12/31/2010	20003	12/31/10 General NSCD	(1.00)		out
		Payroll Reserves			
12/31/2010	30403	12/31/10 General NSCD	1.00		in
		Payroll Reserves			
12/31/2010	20003	12/31/10 General NSCD	2,496.67		out
		Payroll Reserves			
12/31/2010	30403	12/31/10 General NSCD	(2,496.67)		in
		Payroll Reserves			
12/31/2010	20005	12/31/10 General NSCD	1,124.81		out
		Payroll Reserves			
12/31/2010	30740	12/31/10 General NSCD	(1,124.81)		in
		Payroll Reserves			
		12/31/10 General SCD			
12/31/2010	20002	Payroll Reserves	0.00		out
		12/31/10 General SCD			
12/31/2010	30302	Payroll Reserves	0.00		in
		12/31/10 General SCD			
12/31/2010	20202	Payroll Reserves	0.00		out
		12/31/10 General SCD			
12/31/2010	30502	Payroll Reserves	0.00		in
		12/31/10 General SCD			
12/31/2010	20004	Payroll Reserves	0.00		out
		12/31/10 General SCD			
12/31/2010	30740	Payroll Reserves	0.00		in
		12/31/10 General SCD			
12/31/2010	20203	Payroll Reserves	0.00		out
		12/31/10 General SCD			
12/31/2010	30603	Payroll Reserves	0.00		in


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		Payroll Reserves				
12/31/2010	20003	12/31/10	General	SCD	0.00	out
		Payroll Reserves				
12/31/2010	30403	12/31/10	General	SCD	0.00	in
		Payroll Reserves				
12/31/2010	20003	12/31/10	General	SCD	0.00	out
		Payroll Reserves				
12/31/2010	30403	12/31/10	General	SCD	0.00	in
		Payroll Reserves				
12/31/2010	20005	12/31/10	General	SCD	0.00	out
		Payroll Reserves				
12/31/2010	30740	12/31/10	General	SCD	0.00	in
		Payroll Reserves				
12/31/2010	20011	12/31/10	Safety	Payroll	117,597.68	out
		Reserves				
12/31/2010	30311	12/31/10	Safety	Payroll	(117,597.68)	in
		Reserves				
12/31/2010	20211	12/31/10	Safety	Payroll	581,783.23	out
		Reserves				
12/31/2010	30511	12/31/10	Safety	Payroll	(581,783.23)	in
		Reserves				
12/31/2010	20013	12/31/10	Safety	Payroll	60,988.80	out
		Reserves				
12/31/2010	30740	12/31/10	Safety	Payroll	(60,988.80)	in
		Reserves				
12/31/2010	20212	12/31/10	Safety	Payroll	169,031.97	out
		Reserves				
12/31/2010	30612	12/31/10	Safety	Payroll	(169,031.97)	in
		Reserves				
12/31/2010	20012	12/31/10	Safety	Payroll	(2.00)	out
		Reserves				
12/31/2010	30412	12/31/10	Safety	Payroll	2.00	in
		Reserves				
12/31/2010	20012	12/31/10	Safety	Payroll	5,814.25	out
		Reserves				
12/31/2010	30412	12/31/10	Safety	Payroll	-5,814.25	in


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		Reserves					
12/31/2010	20014	12/31/10 Reserves	Safety	Payroll	3,057.74		out
12/31/2010	30740	12/31/10 Reserves	Safety	Payroll	-3,057.74		in
12/31/2010	20011	12/31/10 Reserves	Safety	BP Payroll	0.00		out
12/31/2010	30311	12/31/10 Reserves	Safety	BP Payroll	0.00		in
12/31/2010	20211	12/31/10 Reserves	Safety	BP Payroll	0.00		out
12/31/2010	30511	12/31/10 Reserves	Safety	BP Payroll	0.00		in
12/31/2010	20013	12/31/10 Reserves	Safety	BP Payroll	0.00		out
12/31/2010	30740	12/31/10 Reserves	Safety	BP Payroll	0.00		in
12/31/2010	20212	12/31/10 Reserves	Safety	BP Payroll	0.00		out
12/31/2010	30612	12/31/10 Reserves	Safety	BP Payroll	0.00		in
12/31/2010	20012	12/31/10 Reserves	Safety	BP Payroll	0.00		out
12/31/2010	30412	12/31/10 Reserves	Safety	BP Payroll	0.00		in
12/31/2010	20012	12/31/10 Reserves	Safety	BP Payroll	0.00		out
12/31/2010	30412	12/31/10 Reserves	Safety	BP Payroll	0.00		in
12/31/2010	20014	12/31/10 Reserves	Safety	BP Payroll	0.00		out
12/31/2010	30740	12/31/10 Reserves	Safety	BP Payroll	0.00		in
12/31/2010	20011	12/31/10 Payroll Reserves	Safety	NSCD	0.00		out




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12/31/2010	30311	12/31/10 Safety NSCD	0.00	in
		Payroll Reserves		
12/31/2010	20211	12/31/10 Safety NSCD	0.00	out
		Payroll Reserves		
12/31/2010	30511	12/31/10 Safety NSCD	0.00	in
		Payroll Reserves		
12/31/2010	20013	12/31/10 Safety NSCD	0.00	out
		Payroll Reserves		
12/31/2010	30740	12/31/10 Safety NSCD	0.00	in
		Payroll Reserves		
12/31/2010	20212	12/31/10 Safety NSCD	0.00	out
		Payroll Reserves		
12/31/2010	30612	12/31/10 Safety NSCD	0.00	in
		Payroll Reserves		
12/31/2010	20012	12/31/10 Safety NSCD	0.00	out
		Payroll Reserves		
12/31/2010	30412	12/31/10 Safety NSCD	0.00	in
		Payroll Reserves		
12/31/2010	20012	12/31/10 Safety NSCD	0.00	out
		Payroll Reserves		
12/31/2010	30412	12/31/10 Safety NSCD	0.00	in
		Payroll Reserves		
12/31/2010	20014	12/31/10 Safety NSCD	0.00	out
		Payroll Reserves		
12/31/2010	30740	12/31/10 Safety NSCD	0.00	in
		Payroll Reserves		
12/31/2010	20011	12/31/10 Safety SCD Payroll	0.00	out
		Reserves		
12/31/2010	30311	12/31/10 Safety SCD Payroll	0.00	in
		Reserves		
12/31/2010	20211	12/31/10 Safety SCD Payroll	0.00	out
		Reserves		
12/31/2010	30511	12/31/10 Safety SCD Payroll	0.00	in
		Reserves		
12/31/2010	20013	12/31/10 Safety SCD Payroll	0.00	out
		Reserves		

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12/31/2010	30740	12/31/10 Safety SCD Payroll Reserves	0.00	in
12/31/2010	20212	12/31/10 Safety SCD Payroll Reserves	0.00	out
12/31/2010	30612	12/31/10 Safety SCD Payroll Reserves	0.00	in
12/31/2010	20012	12/31/10 Safety SCD Payroll Reserves	0.00	out
12/31/2010	30412	12/31/10 Safety SCD Payroll Reserves	0.00	in
12/31/2010	20012	12/31/10 Safety SCD Payroll Reserves	0.00	out
12/31/2010	30412	12/31/10 Safety SCD Payroll Reserves	0.00	in
12/31/2010	20014	12/31/10 Safety SCD Payroll Reserves	0.00	out
12/31/2010	30740	12/31/10 Safety SCD Payroll Reserves	0.00	in
12/31/2010	20002	12/31/10 General Survivor NSCD Payroll Reserves	14,791.50	out
12/31/2010	30302	12/31/10 General Survivor NSCD Payroll Reserves	(14,791.50)	in
12/31/2010	20202	12/31/10 General Survivor NSCD Payroll Reserves	12,602.94	out
12/31/2010	30502	12/31/10 General Survivor NSCD Payroll Reserves	(12,602.94)	in
12/31/2010	20004	12/31/10 General Survivor NSCD Payroll Reserves	2,561.42	out
12/31/2010	30740	12/31/10 General Survivor NSCD Payroll Reserves	(2,561.42)	in
12/31/2010	20203	12/31/10 General Survivor NSCD Payroll Reserves	640.11	out
12/31/2010	30603	12/31/10 General Survivor NSCD Payroll Reserves	(640.11)	in
12/31/2010	20003	12/31/10 General Survivor NSCD Payroll Reserves	(1.00)	out

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12/31/2010	30403	12/31/10 General Survivor NSCD Payroll Reserves	1.00	in
12/31/2010	20003	12/31/10 General Survivor NSCD Payroll Reserves	640.11	out
12/31/2010	30403	12/31/10 General Survivor NSCD Payroll Reserves	(640.11)	in
12/31/2010	20005	12/31/10 General Survivor NSCD Payroll Reserves	0.00	out
12/31/2010	30740	12/31/10 General Survivor NSCD Payroll Reserves	0.00	in
12/31/2010	20002	12/31/10 General Survivor SCD Payroll Reserves	0.00	out
12/31/2010	30302	12/31/10 General Survivor SCD Payroll Reserves	0.00	in
12/31/2010	20202	12/31/10 General Survivor SCD Payroll Reserves	0.00	out
12/31/2010	30502	12/31/10 General Survivor SCD Payroll Reserves	0.00	in
12/31/2010	20004	12/31/10 General Survivor SCD Payroll Reserves	0.00	out
12/31/2010	30740	12/31/10 General Survivor SCD Payroll Reserves	0.00	in
12/31/2010	20203	12/31/10 General Survivor SCD Payroll Reserves	0.00	out
12/31/2010	30603	12/31/10 General Survivor SCD Payroll Reserves	0.00	in
12/31/2010	20003	12/31/10 General Survivor SCD Payroll Reserves	0.00	out
12/31/2010	30403	12/31/10 General Survivor SCD Payroll Reserves	0.00	in
12/31/2010	20003	12/31/10 General Survivor SCD Payroll Reserves	0.00	out
12/31/2010	30403	12/31/10 General Survivor SCD Payroll Reserves	0.00	in
12/31/2010	20005	12/31/10 General Survivor SCD Payroll Reserves	0.00	out

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12/31/2010	30740	12/31/10 General Survivor SCD Payroll Reserves	0.00	in
12/31/2010	20011	12/31/10 Safety Survivor NSCD Payroll Reserves	0.00	out
12/31/2010	30311	12/31/10 Safety Survivor NSCD Payroll Reserves	0.00	in
12/31/2010	20211	12/31/10 Safety Survivor NSCD Payroll Reserves	0.00	out
12/31/2010	30511	12/31/10 Safety Survivor NSCD Payroll Reserves	0.00	in
12/31/2010	20013	12/31/10 Safety Survivor NSCD Payroll Reserves	0.00	out
12/31/2010	30740	12/31/10 Safety Survivor NSCD Payroll Reserves	0.00	in
12/31/2010	20212	12/31/10 Safety Survivor NSCD Payroll Reserves	0.00	out
12/31/2010	30612	12/31/10 Safety Survivor NSCD Payroll Reserves	0.00	in
12/31/2010	20012	12/31/10 Safety Survivor NSCD Payroll Reserves	0.00	out
12/31/2010	30412	12/31/10 Safety Survivor NSCD Payroll Reserves	0.00	in
12/31/2010	20012	12/31/10 Safety Survivor NSCD Payroll Reserves	0.00	out
12/31/2010	30412	12/31/10 Safety Survivor NSCD Payroll Reserves	0.00	in
12/31/2010	20014	12/31/10 Safety Survivor NSCD Payroll Reserves	0.00	out
12/31/2010	30740	12/31/10 Safety Survivor NSCD Payroll Reserves	0.00	in
12/31/2010	20011	12/31/10 Safety Survivor SCD Payroll Reserves	0.00	out
12/31/2010	30311	12/31/10 Safety Survivor SCD Payroll Reserves	0.00	in
12/31/2010	20211	12/31/10 Safety Survivor	0.00	out

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		SCD Payroll Reserves		
		12/31/10 Safety Survivor		
12/31/2010	30511	SCD Payroll Reserves	0.00	in
		12/31/10 Safety Survivor		
12/31/2010	20013	SCD Payroll Reserves	0.00	out
		12/31/10 Safety Survivor		
12/31/2010	30740	SCD Payroll Reserves	0.00	in
		12/31/10 Safety Survivor		
12/31/2010	20212	SCD Payroll Reserves	0.00	out
		12/31/10 Safety Survivor		
12/31/2010	30612	SCD Payroll Reserves	0.00	in
		12/31/10 Safety Survivor		
12/31/2010	20012	SCD Payroll Reserves	0.00	out
		12/31/10 Safety Survivor		
12/31/2010	30412	SCD Payroll Reserves	0.00	in
		12/31/10 Safety Survivor		
12/31/2010	20012	SCD Payroll Reserves	0.00	out
		12/31/10 Safety Survivor		
12/31/2010	30412	SCD Payroll Reserves	0.00	in
		12/31/10 Safety Survivor		
12/31/2010	20014	SCD Payroll Reserves	0.00	out
		12/31/10 Safety Survivor		
12/31/2010	30740	SCD Payroll Reserves	0.00	in

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### Dimension Values

#### TIER Tier - Dimension Values

Code	Name	Dimension Value Type	Totaling	Blocked
T1	Tier1	Standard		No
T2	Tier2	Standard		No
T3	Tier3	Standard		No

#### MGR Manager - Dimension Values


Code	Name	Dimension Value Type	Totaling	Blocked
1003	St Street Benefits Cash	Standard		No

#### TRANSFER Transfer - Dimension Values

Code	Name	Dimension Value Type	Totaling	Blocked
IN	Transfer In	Standard		No
OUT	Transfer Out	Standard		No


#### EMPLOYER Employer - Dimension Values

Code	Name	Dimension Value Type	Totaling	Blocked
CM	Clovis Memorial	Standard		No
COF	County of Fresno	Standard		No
FMAAA	FMAAA	Standard		No
MOSQ	Mosquito Abatement	Standard		No

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### Chart of Accounts

					Dimension Requirement			
No.	Name	Income/Balance	Account Type	Totaling	Manager	Tier	Transfer	Employer
10700	Benefits Clearing	Balance Sheet	Posting		X	X		X
20000	Members' Contr Rsrvs	Balance Sheet	Begin-Total					
20001	Members' Gen Contr Rsrvs	Balance Sheet	Begin-Total					
20002	EE Contr Gen Annuity Rsrv	Balance Sheet	Posting			X	X	X
20003	EE Contr Gen Settle Ann Rsrv	Balance Sheet	Posting			X	X	X
20004	EE Contr Gen Col Rsrv	Balance Sheet	Posting			X	X	X
20005	EE Contr Gen Sup Col Rsrv	Balance Sheet	Posting			X	X	X
20009	Member Gen Contr Rsrv Total	Balance Sheet	End-Total	20001..20009				
20010	Members' Safety Contr Rsrvs	Balance Sheet	Begin-Total			X	X	
20011	EE Contr Safe Annuity Rsrv	Balance Sheet	Posting			X	X	X
20012	EE Contr Safe Settle Ann Rsrv	Balance Sheet	Posting			X	X	X
20013	EE Contr Safe Col Rsrv	Balance Sheet	Posting			X	X	X
20014	EE Contr Safe Sup Col Rsrv	Balance Sheet	Posting			X	X	X
20198	Members' Safety Contr Rsrvs	Balance Sheet	End-Total	20010..20198				
20199	Members' Contr Rsrvs Total	Balance Sheet	End-Total	20000..20199				
20200	ER Current Service Rsrv	Balance Sheet	Begin-Total					
20201	Employer Gen Cur Serv Rsrv	Balance Sheet	Begin-Total					
20202	ER Contr Gen Cur Serv Rsrv	Balance Sheet	Posting			X	X	X
20203	ER Cont Gen Settle Ann Rsrv	Balance Sheet	Posting			X	X	X
20209	ER Gen Cur Serv Rsrv Total	Balance Sheet	End-Total	20201..20209				
20210	Employer Safe Cur Serv Rsrv	Balance Sheet	Begin-Total					
20211	ER Contr Safe Cur Serv Rsrv	Balance Sheet	Posting			X	X	X
20212	ER Cont Safe Settle Ann Rsrv	Balance Sheet	Posting			X	X	X
20298	ER Safe Curr Serv Rsrv Total	Balance Sheet	End-Total	20210..20298				
20299	ER Curr Serv Rsrv Total	Balance Sheet	End-Total	20200..20299				
30300	Pension EE Annuity Rsrv	Balance Sheet	Begin-Total					
30301	Pension EE Gen Ann Rsrv	Balance Sheet	Begin-Total					


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30302	Pension EE Gen Annuity Rsrv	Balance Sheet	Posting			x	x	x
30309	Pension EE Gen An Rsrv Total	Balance Sheet	End-Total	30301..30309				
30310	Pension EE Safe Ann Rsrv	Balance Sheet	Begin-Total					
30311	Pension EE Safe Annuity Rsrv	Balance Sheet	Posting			x	x	x
30398	Pension EE Safe Ann Rsrv Total	Balance Sheet	End-Total	30310..30398				
30399	Pension EE Ann Rsrv Total	Balance Sheet	End-Total	30300..30399				
30400	Pension EE Settle Ann Rsrv	Balance Sheet	Begin-Total					
30403	Pension EE Gn Settle An Rsrv	Balance Sheet	Posting			x	x	x
30412	Pension EE Saf Settle An Rsrv	Balance Sheet	Posting			x	x	x
30499	Pension EE Setl An Rsrv Total	Balance Sheet	End-Total	30400..30499				
30500	Pension ER Curr Serv Rsrv	Balance Sheet	Begin-Total					
30501	Pension ER Gn Curr Serv Rsrv	Balance Sheet	Begin-Total					
30502	Pension ER Gn Curr Serv Rsrv	Balance Sheet	Posting			x	x	x
30509	Pension ER Gn C/S Rsrv Total	Balance Sheet	End-Total	30501..30509				
30510	Pension ER Safe C/ Serv Rsrv	Balance Sheet	Begin-Total					
30511	Pension ER Safe C/Serv Rsrv	Balance Sheet	Posting			x	x	x
30598	Pension ER Sf C/S Rsrv Total	Balance Sheet	End-Total	30510..30598				
30599	Pension Curr Serv Rsrv Total	Balance Sheet	End-Total	30500..30599				
30600	Pension ER Settle Ann Rsrv	Balance Sheet	Begin-Total					
30601	Pension ER Gn Settle An Rsrv	Balance Sheet	Begin-Total					
30603	Pension ER Gn Settle An Rsrv	Balance Sheet	Posting			x	x	x
30609	Pension ER Gn Setl Ann Total	Balance Sheet	End-Total	30601..30609				
30610	Pension ER Saf Settle An Rsrv	Balance Sheet	Begin-Total					
30612	Pension ER Saf Settle An Rsrv	Balance Sheet	Posting			x	x	x
30698	Pension ER Safe Settle An	Balance Sheet	End-Total	30610..30698				
30699	Pension ER Settle An Total	Balance Sheet	End-Total	30600..30699				
30730	Survivors' Death Ben Reserve	Balance Sheet	Posting			x	x	x
30740	Cost Of Living Reserve	Balance Sheet	Posting			x	x	x
30750	Supplemental Col Reserve	Balance Sheet	Posting			x	x	x
30760	Settlement Benefit Rsrv	Balance Sheet	Posting			x	x	x
30770	Retiree Health Ins (BOR) Rsrv	Balance Sheet	Posting			x	x	x




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30780	Retiree Health Ins (VS) Rsrv	Balance Sheet	Posting			x	x	x
41000	Member Contributions	Income Statement	Begin-Total					
41001	Member General Contributions	Income Statement	Begin-Total					
41002	EE Contr Gen Annuity	Income Statement	Posting			x		x
41003	EE Contr Gen Settle Ann	Income Statement	Posting			x		x
41004	EE Contr Gen Col	Income Statement	Posting			x		x
41005	EE Contr Gen Sup Col	Income Statement	Posting			x		x
41009	Member General Contr Total	Income Statement	End-Total	41001..41009				
41010	Member Safety Contributions	Income Statement	Begin-Total					
41011	EE Contr Safe Annuity	Income Statement	Posting			x		x
41012	EE Contr Safe Settle Ann	Income Statement	Posting			x		x
41013	EE Contr Safe Col	Income Statement	Posting			x		x
41014	EE Contr Safe Sup Col	Income Statement	Posting			x		x
41015	Member Safety Contr Total	Income Statement	End-Total	41010..41015				
41999	Member Contribution Total	Income Statement	End-Total	41000..41999				
42000	Employer Contributions	Income Statement	Begin-Total					
42001	Employer Contribution General	Income Statement	Begin-Total					

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42002	ER Contr Gen Cur Serv	Income Statement	Posting			x		x
42003	ER Cont Gen Settle Ann	Income Statement	Posting			x		x
42009	Employer General Contr Total	Income Statement	End-Total	42001..42009				
42010	Employer Safety Contr	Income Statement	Begin-Total					
42011	ER Contr Safe Cur Serv	Income Statement	Posting			x		x
42012	ER Cont Safe Settle Ann	Income Statement	Posting			x		x
42019	Employer Safety Contr Total	Income Statement	End-Total	42010..42019				
43000	Employer Contributions Col	Income Statement	Begin-Total					
43001	Employer Contr General Col	Income Statement	Begin-Total					
43004	Employer Contr General Col	Income Statement	Posting			x		x
43005	Employer Contr Gen Col Total	Income Statement	End-Total	43001..43005				
43010	Employer Contr Safety Col	Income Statement	Begin-Total					
43013	Employer Contr Safety Col	Income Statement	Posting			x		x
43014	ER Contr Safety Col Total	Income Statement	End-Total	43010..43014				
43015	Employer Col Contr Total	Income Statement	End-Total	43000..43015				
43999	Employer Contributions Total	Income Statement	End-Total	42000..43999				
50000	EE Contribution Refunds	Income Statement	Begin-Total					

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50001	EE Refunds General	Income Statement	Begin-Total					
50002	EE Refunds General Ann	Income Statement	Posting			x		x
50003	EE Refunds Gen Settle Ann	Income Statement	Posting			x		x
50004	EE Refunds Gen Col	Income Statement	Posting			x		x
50005	EE Refunds Gen Sup Col	Income Statement	Posting			x		x
50009	EE Refunds General Total	Income Statement	End-Total	50001..50009				
50010	EE Refunds Safety	Income Statement	Begin-Total					
50011	EE Refunds Safety Ann	Income Statement	Posting			x		x
50012	EE Refunds Safe Settle Ann	Income Statement	Posting			x		x
50013	EE Refunds Safety Col	Income Statement	Posting			x		x
50014	EE Refunds Safe Sup Col	Income Statement	Posting			x		x
50015	EE Refunds Safety Total	Income Statement	End-Total	50010..50015				
50099	EE Contribution Refunds Total	Income Statement	End-Total	50000..50099				
50200	Refunds Survivor Lump Sum	Income Statement	Begin-Total					
50201	Refund Survivor L/ Sum Gen	Income Statement	Begin-Total					
50202	Surv Death L/Sum Gen C/S	Income Statement	Posting			x		x
50203	Surv Death L/S Gen Settle An	Income Statement	Posting			x		x

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50209	Refund Surv L/ Sum Gen	Income Statement	End-Total	50201..50209				
50210	Refund Survivor L/ Sum Safe	Income Statement	Begin-Total					
50211	Surv Death L/Sum Safe C/S	Income Statement	Posting			x		x
50212	Surv Death L/S Safe Settle An	Income Statement	Posting			x		x
50298	Refund Surv L/ Sum Safe	Income Statement	End-Total	50210..50298				
50299	Refunds Survivor L/Sum Total	Income Statement	End-Total	50200..50299				
50300	Benefits Paid	Income Statement	Begin-Total					
50301	EE Benefit Paid General	Income Statement	Begin-Total					
50302	EE Benefit Paid General Ann	Income Statement	Posting			x		x
50309	EE Benefit Paid General Total	Income Statement	End-Total	50301..50309				
50310	EE Benefit Paid Safety	Income Statement	Begin-Total					
50311	EE Benefit Paid Safety Ann	Income Statement	Posting			x		x
50398	EE Benefit Paid Safety Total	Income Statement	End-Total	50310..50398				
50399	Benefits Paid Total	Income Statement	End-Total	50300..50399				
50400	EE Benefit Paid Settle Ann	Income Statement	Begin-Total					
50403	EE Benefit Paid Gn Settle Ann	Income Statement	Posting			x		x
50412	EE Benefit Paid Saf Settle Ann	Income Statement	Posting			x		x

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50413	EE Benefit Pd Settle Ann Tota	Income Statement	End-Total	50400..50413				
50500	ER Benefits Paid Cur Service	Income Statement	Begin-Total					
50502	ER Benefits Paid Gen Cur Serv	Income Statement	Posting			x		x
50511	ER Benefits Paid Saf Cur Serv	Income Statement	Posting			x		x
50549	ER Benefit Pd Cur Serv Total	Income Statement	End-Total	50500..50549				
50600	ER Benefit Paid Settle Ann	Income Statement	Begin-Total					
50603	ER Benefit Pd Gen Settle Ann	Income Statement	Posting			x		x
50612	ER Benefit Pd Saf Settle Ann	Income Statement	Posting			x		x
50619	ER Benefit Pd Settle AnnTotal	Income Statement	End-Total	50600..50619				
50730	Surv Death Monthly Benefit Pd	Income Statement	Posting			x		x
50740	Cost Of Living Adjustments	Income Statement	Posting			x		x
50750	Supplemental Col Adjustments	Income Statement	Posting			x		x
50760	Settlement Benefit Adjust	Income Statement	Posting			x		x
50770	Benefit Pd Health Benefit BOR	Income Statement	Posting			x		x
50780	Benefit Pd Health Benefit VS	Income Statement	Posting			x		x

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	Tiers / Plan Sponsors	

## 4.4.803 Tiers / Plan Sponsors

### 1 Overview

FCERA currently has two membership classifications and five basic tiers (General Tier I, General Tier II and General Tier III. Safety Tier I and Safety Tier II). FCERA also supports four active and three inactive Plan Sponsors.

County of Fresno may decide to add tiers at any time and other Plan Sponsors may decide to join or leave FCERA for their retirement needs.

### 2 Process Overview

#### 2.1 Process Scope

The scope of this process includes the adding, modifying, and deactivating Plan Sponsor and benefit Tiers. Any time new tiers or Plan Sponsors are added in the current PENSIONS system, a programmer needs to be involved to make the modifications.

#### 2.2 Process Flow

There is no process flow diagram necessary to define this process.

#### 2.3 Process Steps

The Assistant Retirement Administrator works with the programmer to add a new Plan Sponsor or Tier to the system.

#### 2.4 Areas of Concern

FCERA desires the capability for functional team members to add a tier or Plan Sponsor without getting a programmer involved.

Adding a tier or Plan Sponsor must be table driven and the items listed in Key Business Rules section below must be used in the calculations.

County of Fresno may decide to add tiers at any time and other Plan Sponsors may decide to join or leave FCERA.

Membership in specific Tiers is mandatory for some bargaining units. Currently, this information is stored in a table in PENSIONS that can be modified by FCERA staff. Occasionally, a window is opened to provide the opportunity to move into a lower benefit tier.

Currently the same employer rate applies to all Plan Sponsors, and is based on Tiers offered. The new PAS must provide the flexibility to charge different rates to different Plan Sponsors in the future.

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FCERA requests that potential PAS vendors provide screen prints or video clips in the RFP response so FCERA can get a sense of the work effort involved in adding tiers and plan sponsors.

## 2.5 Key Business Rules

### 2.5.1 New Tiers

The calculations and assumptions associated with new tiers are as follows:

- Final compensation period
- Final Compensation
- Benefit levels (Actual calculation is based on benefit level.)
- Age
- Effective date
- Cost of living
- Retirement contributions calculations
- Health benefits
- Service Connected disability calculation
- Non-service connected disability calculation
- Bargaining Unit membership
- Plan Sponsor

### 2.5.2 New Plan Sponsors

The following items are specified when adding a new Plan Sponsor:

- Name of the Plan Sponsor
- Social Security integration, if applicable
- Tiers and classifications associated with the Plan Sponsor
- Contribution rates associated with each employer/Plan Sponsor

### 2.5.3 Reporting requirements

None identified.

### 2.5.4 Currently Used Forms and Reports

None identified.

## 3 Analysis & Recommendation

Today, the main concern around adding or modifying Tiers and Plan Sponsors is the need to enlist a programmer to make the change in PENSIONS. A new PAS will be expected to provide this capability to an appropriately-privileged staff member. The staff member

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will be able to manage Tiers and Plan Sponsors simply by editing table data with the user interface of the PAS.

## 4 Requirements

The table below presents the formal requirements for FCERA Tiers and Plan Sponsors functionality.

ReqID	Process	Requirement Detail	Priority
803.001	Tiers/Plan Sponsors	The PAS will provide the capability for appropriately-privileged functional staff to add new Plan Sponsors. A table-driven approach is desired so that a technical programmer is not required to add a new Plan Sponsor.	1
803.002	Tiers/Plan Sponsors	The PAS will provide the capability for appropriately-privileged functional staff to modify existing Plan Sponsor data. A table-driven approach is desired so that a technical programmer is not required to add a new Plan Sponsor.	2
803.003	Tiers/Plan Sponsors	The PAS will provide the capability for appropriately-privileged functional staff to add new Tiers. A table-driven approach is desired so that a technical programmer is not required to add a new Plan Sponsor.	1
803.004	Tiers/Plan Sponsors	The PAS will provide the capability for appropriately-privileged functional staff to modify existing Tiers. A table-driven approach is desired so that a technical programmer is not required to add a new Plan Sponsor.	2
803.005	Tiers/Plan Sponsors	The PAS will provide the capability to define Tiers using the following data fields: Final compensation period Final compensation Benefit levels (Actual calculation is based on benefit level.) Effective date Cost of living Retirement contributions calculations Health benefits Non-service connected disability calculation Bargaining unit membership Plan Sponsor	2
803.006	Tiers/Plan Sponsors	The PAS will provide the capability for appropriately-privileged functional staff to assign bargaining unit members to the appropriate Tier. Membership to a specific Tier is mandatory for some bargaining units within the County of Fresno. Must have override capability to change a member's tier if certain requirements are met.	2
803.007	Tiers/Plan Sponsors	The PAS will provide the capability for appropriately-privileged functional staff to modify Tier membership specific to bargaining units. Membership in FCERA is mandatory for some (not all) bargaining units.	2



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ReqID	Process	Requirement Detail	Priority
803.008	Tiers/Plan Sponsors	The PAS will provide the capability for appropriately-privileged functional staff to designate a Plan Sponsor as having Social Security integration.	2
803.009	Tiers/Plan Sponsors	The PAS will provide the capability for appropriately-privileged functional staff to associate Tiers and benefit levels to one or more Plan Sponsor(s).	2
803.010	Tiers/Plan Sponsors	The PAS will provide the capability to charge all Plan Sponsors the same employer contribution rate.	2
803.011	Tiers/Plan Sponsors	The PAS will provide the capability to charge different Plan Sponsors different employer contribution rates based on the Tiers offered.	2
803.012	Tiers/Plan Sponsors	The PAS will provide the capability to charge different Plan Sponsors different employer contribution rates based on criteria other than the Tiers offered.	2

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	Workflow	

## 4.4.804 - Workflow

### 1 Overview

Workflow tools are used to automate business processes where more than one user is involved. Workflow is used to route the right task to the right person at the right time in the right sequence. Linking workflow to e-mail applications such as Microsoft Outlook can be used to send notifications and alerts. Likewise, linking workflow to an Electronic Document Management System (EDMS) will route documents from the point of input to the point of file archiving automatically. Workflow capabilities also provide management metrics so that appropriate workload adjustments can be made among the staff.

### 2 Process Overview

#### 2.1 Process Scope

FCERA assigns work at the individual level as well as the group level. Most of the work will be assigned at the group level (i.e., Retirement Coordinators or Account Clerks). Users in a particular group share the work using e-mail and calendar notifications, plus the PAS system to complete end-to-end processing.

#### 2.2 Process Flow

No diagram is necessary.

#### 2.3 Process Steps

Workflow is the foundation upon which processes are performed. Therefore there are no process steps to detail for workflow.


#### 2.4 Areas of Concern

FCERA expects the following functional characteristics of Workflow

- Rules to route documents scanned into EDMS to appropriate users by document type. For example, a completed disposition form received from a member will be routed to the assigned Retirement Coordinator. Rules to prioritize tasks based on the type of document.
- Predefined, retirement-related workflows
- Ability to substitute and reroute tasks to reallocate work load

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- Various task types such as review and approve
- Calendar functionality integrated with PAS to set up appointments, and flexible enough to move the appointments to accommodate staff vacation. Currently staff vacation is tracked using Outlook calendar.
- Capability to organize workflows based on major work processes, such as meetings (Board, Counseling) estimate requests, terminations, refunds, retirements, deaths, etc.
- Levels or thresholds for review or approval. For example, approving refunds over \$5,000 would be routed for additional approval than refunds less than that amount.
- Capability for administrator to add / delete / change steps in a workflow
- Capability for administrator to add / delete / change work items that are in-process in the workflow
- Capability for administrator to delete workflows that are no longer needed
- Permission based access to tasks
- If Workflow is implemented with a product that is separate from the PAS product, the security for Workflow security must be compatible with the PAS security. In other words, users must have access to a particular function or screen in PAS that allows them to do the task.
- Deadline monitoring to trigger a workflow or the next step in a workflow. For example, wait 30 days to send a follow up letter to reciprocal agency to confirm member's eligibility for reciprocal service if no response is received.
- Capability to send e-mail notifications to recipients other than PAS users, as well as recipients outside FCERA
- Capability to start a workflow process as a result of receiving an e-mail or fax
- Allow workflow notifications to be delivered to a user's email Inbox, and access the workflow task directly from the email Inbox. Single sign-on is not a requirement when accepting PAS workflow tasks from an email environment. FCERA expects the login to email and the login to the PAS to be distinct.
- If a user has multiple tasks in a sequence, he or she must be able to execute the tasks in sequence without having to go back to the integrated inbox.
- Reports to count and track work elements within the workflow. For example, FCERA wishes to know the number of documents used or processed in various stages of processing. Dozens of documents are received in a normal day and hundreds of documents during election period.
- Reports to track the length of time tasks have been in the work queue.

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- Capability to allow some workflow tasks to be managed with passive workflow (staff draws work off a pool of tasks); while other workflow tasks to be managed with active workflow (tasks are assigned to specific staff).

## 2.5 Key Business Rules

There are no business rules particular to workflow.

### 2.5.1 Currently Used Forms and Reports

There are no forms or reports identified, as workflow is not automated in the current system.

There is a current work log that is maintained manually. See Appendix.

## 3 Analysis and Recommendation

FCERA has very little workflow management capabilities at present and would like to adopt workflow automation to accomplish several goals:

- Improve workload management
- Maintain consistency of work quality
- Gain efficiencies to maintain a high level of member service

Workflow models come in a few varieties, with the active versus passive workflow being the major differentiator. Active workflow involves directly assigning work to individuals (or roles). It is sometimes referred to as a 'push' model, where the work is pushed automatically to the individual based on rules defined during implementation. Automated timers, reminders, and re-assignments based on work backlog are all characteristics of active workflow. Active workflow models require detailed definition prior to implementation. When a business model changes, the affected workflows need to be modified to accommodate the change.

In contrast, passive workflow involves placing work in common pools. The workers go to the pool to select the work they want to do. This is referred to as the "pull" model, as workers pull the work to them rather than the work being given to them. Manual checklists, calendars, and tracking tools are usually considered to be part of a passive workflow model. Both models provide metrics for managers to measure workload and productivity.

A model that appears to be most appropriate for FCERA's situation is a combination of active and passive workflow. Most processes could be managed with passive workflow. Processes that are particularly time-sensitive, require management action, or are unique to FCERA may require active workflow. This selective use of active workflow keeps the

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maintenance risk/cost manageable while still providing an environment where work can be managed more actively than is possible at FCERA today.

## 4 Requirements

ReqID	Process	Item detail	Priority
804.001	Workflow	The PAS will provide the capability to define user-tailorable rules for routing documents scanned into EDMS to appropriate users by document type.	1
804.002	Workflow	The PAS will provide the capability to define user-tailorable rules to prioritize workflow tasks based on the type of document and/or other attributes of the task.	1
804.003	Workflow	The PAS will provide predefined, retirement-related workflows.	2
804.004	Workflow	The PAS will provide the capability to define various task types such as review and approve.	2
804.005	Workflow	The PAS will provide an audit log of all movement of tasks through the workflow, to include at a minimum: task id, task/document name, user assigned, date assigned, date completed.	2
804.006	Workflow	The PAS will provide calendar functionality to manage appointments.	2
804.007	Workflow	The PAS will provide the capability to integrate with Outlook calendar. For instance, staff vacation tracked using Outlook calendar would be checked prior to the PAS making an appointment with a member.	2
804.008	Workflow	The PAS will provide the capability to organize workflows based on major work processes, such as meetings (Board, Counseling) estimate requests, terminations, refunds, retirements, deaths, etc...	2
804.009	Workflow	The PAS will provide the capability to establish thresholds for review or approval. For example, approving refunds over \$5,000 may require special approvals whereas amounts less than the threshold would not.	2
804.010	Workflow	The PAS will provide the capability for an administrator to add / delete / change steps in a workflow.	2
804.011	Workflow	The PAS will provide the capability for an administrator to delete / change work items that are in-process in a workflow.	2
804.012	Workflow	The PAS will provide the capability for an administrator to delete workflows that are no longer needed.	2
804.013	Workflow	The PAS will provide permission-based access to tasks.	2
804.014	Workflow	The PAS will provide security that is compatible with workflow if workflow is implemented with a product that is separate from the PAS product. In other words, users must have access to a particular function or screen in PAS that allows them to do the task.	2
804.015	Workflow	The PAS will provide deadline monitoring capabilities to trigger the start of a workflow task or the next step in a workflow.	2
804.016	Workflow	The PAS will provide the capability to send e-mail notifications to recipients other than PAS users, as well as recipients outside of FCERA.	2
804.017	Workflow	The PAS will provide the capability to start a workflow process as a result of scanning a document.	2
804.018	Workflow	The PAS will provide the capability to start a workflow process manually.	2
804.019	Workflow	The PAS will provide the capability to manage tasks using a passive	2


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	Workflow	

ReqID	Process	Item detail	Priority
		workflow model.	
804.020	Workflow	The PAS will provide the capability to manage tasks using an active workflow model.	2
804.021	Workflow	The PAS will provide the capability to manage workflow tasks using a combination of passive and active workflow models. Staff would select work from a common pool for some tasks (passive workflow), while with other tasks, staff would be assigned work directly (active workflow).	2
804.022	Workflow	The PAS will provide the capability to start a workflow process as a result of receiving an e-mail or fax.	2
804.023	Workflow	The PAS will provide the capability to deliver workflow notifications a user's email inbox, and allow the user to access the workflow task directly from the email inbox. <b>Single sign-on is not a requirement</b> when accepting PAS workflow tasks from an email environment. FCERA expects the login to email and the login to the PAS to be distinct.	2
804.024	Workflow	The PAS will provide the capability for a user to execute multiple workflow tasks in a sequence without having to go back to the Outlook email inbox.	2
804.025	Workflow	The PAS will provide reports to count and track work elements within the workflow. For example, FCERA wishes to know the number of documents used or processed in various stages of processing.	2
804.026	Workflow	The PAS will provide reports to track the length of time tasks have been in the work queues.	2

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## 5 Appendix Sample work Log

Assigned to	Date Rec.	Member	Form Name/Number	Due Date	Comments
PM	04/19/10	LastName, FirstName	Disposition of Retirement Contributions		
DR	04/19/10	LastName, FirstName	Withholding Request		
MM	04/19/10	LastName, FirstName	Change of Beneficiary		
MAS	04/19/10	LastName, FirstName	Final Comp Documents		
DD	04/19/10	LastName, FirstName	Authorization to release info.		Peace Officers Research Association
PM	04/19/10	LastName, FirstName	Quality Control form		Re: lifetime Benefit Letter previously sent
DR	04/19/10	LastName, FirstName	Withholding Request		
DR	04/19/10	LastName, FirstName	Withholding Request		
DR	04/19/10	LastName, FirstName	Direct Deposit		
PM	04/19/10	LastName, FirstName	Disposition of Retirement Contributions		
DR	04/19/10	LastName, FirstName	Withholding Request		
DR	04/19/10	LastName, FirstName	Direct Deposit		
MM	04/19/10	LastName, FirstName	Change of Beneficiary		
MAS	04/19/10	LastName, FirstName	Final Comp Documents		
MAS	04/19/10	LastName, FirstName	Final Comp Documents		
MAS	04/19/10	LastName, FirstName	Final Comp Documents		144 Deceased project
MAS	04/19/10	LastName, FirstName	Final Comp Documents		
KAJ	04/19/10	LastName, FirstName	Benefit Questions includes Divorce		Martha & Becky took over
DD	04/20/10	LastName, FirstName	Estimate	4/23/10	Emailed - Wants estimate including buy back info.
PM	04/20/10	LastName, FirstName	Estimate	4/26/10	Phone call
MB	04/20/10	LastName, FirstName	Medical Records - Disability Retirement Claim		From Dr. Ghazal
MB	04/20/10	LastName, FirstName	Authorization to release info.		Sent to Dr. Scott - Returned mail
MB	04/20/10	LastName, FirstName	Medical Records - Disability Retirement Claim		From Dr. Norwood

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## 005 – Technical Requirements

### 5.1 What this document is about

This section provides an overview of the current technical environment at FCERA as well as the requirements and constraints for the future Pension Administration System.

The first part of this document describes the technical requirements for the solution. Anything described in this section must be considered for the vendor's proposal. The second part, which is contained in **Section 006 Technical Requirements Bidder Response Form**, is an extensive form to which the bidder must respond.

### 5.2 Infrastructure

#### 5.2.1 Technical Staff

FCERA has one internal IT staff member, but it does not have its own IT department or data center. Currently, its systems are hosted and supported by the County of Fresno. The County of Fresno provides technical support for infrastructural issues.


#### 5.2.2 Computers and Networking

The PAS solution will be compatible with the current operating system environment at FCERA and Fresno County, and will maintain acceptable migration strategies with regards to operating system updates and upgrades. The solution will not preclude use by FCERA staff over VPN.

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

Servers	Windows Server 2003, 2008
Desktops	Windows XP, Windows 7 64-bit
Networking	Ethernet TCP/IP Line Of Sight 22Mbps microwave to Fresno County offices
VPN	Cisco
Productivity software	Microsoft Office 2003
Browser	Microsoft Internet Explorer v7



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### 5.2.3 Hosting

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FCERA has not made a decision on how the new system will be hosted. FCERA is open to new technology and would like to obtain as much information as possible from the bidders regarding the commodity software (including database licenses) and hardware requirements, along with recommendations. From that perspective, FCERA would consider these options:

#### 5.2.3.1 Option 1: FCERA hosted

In this option, the Pension Administration System would be maintained in FCERA's dedicated environment in Fresno. FCERA currently utilizes the County of Fresno to provide the hardware and software on a fee-for-service basis. FCERA would expect the hardware to be dedicated to the Pension Administration System, and installed and managed by the County of Fresno. In the future, FCERA may migrate the hardware from the County of Fresno's data center to a location on site at FCERA. However, this future migration is not within the scope of this RFP. If the bidder proposes a solution based on this option, the cost proposal should include all of the necessary components (both software and hardware) in order to implement this solution.

Note: FCERA has access to government pricing through the County of Fresno, so it may not ultimately purchase through the winning software vendor, but this information is still needed for the evaluation process.

#### 5.2.3.2 Option 2: Vendor hosted during development

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


#### 5.2.3.3 Option 3: Vendor hosted after go-live

In this option, the vendor would host the complete solution environment for the duration of the project and for a period of one to two years after go-live. At that point, the vendor would assist with the migration of the environment to FCERA. While a vendor-hosted solution is not a requirement, FCERA will consider a "software as a service" type solution if it can be shown to provide good value, low risk, and acceptable performance.

With option 2 or 3, the software vendor or a 3<sup>rd</sup> party provider contracting with the software vendor will maintain the physical environment at the vendor's or 3<sup>rd</sup> party location and the system will be accessed securely by FCERA staff. Bidders are encouraged to include detailed information on hosting and support of the application in their response to this RFP.

### 5.2.4 Current Systems in Use at FCERA

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#### **5.2.4.1 Pension Administration System**

FCERA currently uses a version of Watson-Wyatt PENSIONS supported by private consulting services. The original vendor is no longer supporting the product. Much of the data are input by hand. Further, some calculation and all work management is done outside PENSIONS in Excel. As part of the scope of this project, FCERA would like to automate the exchange of data with other systems, all pension-related calculations, workflow management, and document management. PENSIONS uses a Microsoft Access database.

#### **5.2.4.2 Distribution Payroll**

FCERA's distribution payroll functions are outsourced to State Street Bank. FCERA provides Excel-based instructions to State Street Bank to set up payments. Monthly payments are considered to be standing until changed. Lump sum payments and adjustments are one-time instructions. Mailing of checks, direct deposits, tax filings, and 1099R administration are handled entirely at State Street Bank, with FCERA approval and oversight. The Bank provides a distribution payroll file back to FCERA when the Bank has completed the monthly payments. The file is imported into PENSIONS to post the payments to the members' accounts.

FCERA expects that the PAS will have the ability to generate a distribution payroll interface file for State Street Bank to provide automated file-based integration between the PAS and State Street Bank.

#### **5.2.4.3 Active Payroll**

The County of Fresno Peoplesoft implementation maintains the regular employee payroll for county employees (including employees of FCERA). FCERA receives a county payroll file, referred to as PSBiweekly, from the county every two weeks and the data in the file is imported to PENSIONS. This file contains demographic, employment, earnings, and contribution data for all active members, along with final data from newly retired and terminated members.


FCERA also accepts payroll from Special District employers on Excel spreadsheets and other manual communication. The information is hand-entered into PENSIONS by FCERA staff. The membership for these employers is quite small. FCERA would like the proposed solution to include the capability to import special district payroll information to the PAS from Excel files.

#### **5.2.4.4 General Ledger**

FCERA maintains its own General Ledger (GL) using current Microsoft NAV software. Specific financial data will be exported from the PAS and imported into the NAV GL.

#### **5.2.4.5 Document Imaging**

A full-scale EDMS for member documents, including backfile conversion, is within the scope of this project. The bidder is expected to include an EDMS solution, whether embedded with the PAS or a separate but integrated product, in their response to this

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RFP. FCERA is using eCopy Paperworks for imaging internal administrative documents on a small scale. There is no integration expected between eCopy and the EDMS solution.

#### **5.2.4.6 Data Completeness in the current System**

In general, PENSIONS houses all day-to-day data for administering FCERA membership. There are a handful of calculations performed in Microsoft Excel because PENSIONS either performs a certain calculation incorrectly or does not contain the calculation at all. Additionally, some letters and reports are constructed in Microsoft Word or Excel outside of PENSIONS.

Subjectively speaking, FCERA feels the data in PENSIONS is 60-75% clean and complete. Examples of known deficiencies include:

- Information related to retiree benefits is incomplete. This data results from the bank import after payroll is distributed.
- Public Service is not recorded properly.
- Some members are not set up properly. For example, DROs are set up as members, whereas they should be set up as associated parties/payees to the actual member.
- Some members have negative interest accumulated on contributions.
- Some members have incomplete SSNs, with values such as 999999999, blank, etc)


Data cleansing is expected as part of the data migration portion of this project.

### **5.3 Hardware**

FCERA currently does not have a preference for the necessary hardware and will most likely need to acquire additional hardware to support the system (unless the solution is to be hosted remotely.) FCERA is looking for help with the procurement of new hardware. Thus, the bidder should include in the response, a list of recommended hardware, to include the specifications and configuration of all the hardware components required for the overall solution. This includes recommendations on appropriately sized production, test, training, QA and reporting environments for use during and after the implementation. Test environments should have the ability to be refreshed simply by copying an existing database. The recommended hardware configuration must support all of the RFP requirements and be capable of expansion to support future capabilities as described in this RFP.

#### **5.3.1 Servers**

The bidder should recommend hardware to support a platform that accommodates an estimated 25 concurrent sessions of FCERA staff, an active payroll import batch, and no

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external users. The hardware should be sized so that the response requirements elsewhere in this RFP are met. The bidder should assume a 5% increase in user activity per year.

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

### **5.3.2 Uninterruptable Power Supply (UPS)**

The bidder should recommend the number and types of uninterruptible power supplies (UPSs) that should be included for those server specifications supplied by the vendor. Note that this equipment would be acquired only for a configuration housed at the FCERA offices at some point in the future. If the solution is hosted at the County of Fresno data center, extensive power controls are in place. Regardless, the bidder is asked to include suggested UPS specifications to ensure adequate power protection is available for the proposed solution.

### **5.3.3 Desktops**

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


If the bidder is including a hosted solution in the response, FCERA would like to obtain recommendations from the bidder on the required networking, software and hardware environments, including minimum hardware and software requirements for the client PCs from which the application will be accessed.

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

FCERA PCs currently run McAfee virus scan on all desktops. The solution must allow for virus scanning and security updates on PCs without vendor support. The vendor is required to keep their software up to current security standards at all times.

### **5.3.4 Storage**

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

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- There are approximately 16,000 total Active, Deferred, Suspense, and Retired Members
- There are approximately 24,000 total membership records
- The membership growth rate is approximately 5% per year.

An EDMS will increase FCERA's data storage and network resource requirements significantly. Network Attached Storage (NAS) devices or an expandable RAID array attached to the server hosting the software will be required to accommodate the document images. The bidders should recommend storage solutions compatible with their PAS/EDMS solution.

### 5.3.5 Printers, Scanners, cables, and other peripherals

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

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

FCERA does *not* envision the solution being used to print checks or to transmit or print ACH advices. Check printing and ACH transmission will take place at an external vendor, such as State Street Bank, or outside of the system. Distribution payroll *processing*, however, will be handled by the PAS. In case of a vendor hosted solution, bidders must include details on how check files and ACH files will be generated and submitted to an external vendor for distribution payroll.


FCERA will use a full-featured production scanner capable of 10,000 pages per day throughput. FCERA will need a scanner that has all standard features common in a commercial grade scanner. The functional specification for the EDMS functionality, including scanner capabilities, is detailed in **Section 004 Functional Requirements** of this RFP.

## 5.4 Software

FCERA requires full access to any and all software proposed (i.e. no locks or other restrictive mechanism should be used). Full technical documentation and end-user documentation are required as well as a complete Data Dictionary describing the database, tables, and fields.

### 5.4.1 Security and Controls

FCERA currently uses Microsoft Active Directory 2007 for user rights and access. Integration into Active Directory with pass-through authentication is a plus. All logins must be tightly mandated under the strictest security protocols. Rather than designate

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authorization by user, access and security control will be administered by roles/groups. Access to specific screens and functionality should be controlled by an authorized logged-in user ID and offer, at a minimum, these access controls:

- Menu access
- Screen access
- Screen function access
- Field level access
- Transaction access (certain types of transactions)
- Process access (wizards, etc.)
- Transaction approval process

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

- System Administrator
- Power User
- Standard User
- Restricted User

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


The bidder must supply a description of the type of authentication employed and what the interface will look like to users in the answer sheet provided in **Section 006 Technical Requirements Bidder Response**. Additionally, the vendor must include information in the answer sheet in **Section 006** on overall login and password handling defaults for their solution, including but not limited to:

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

#### **5.4.2 Enhanced Capabilities**

The solution selected will likely be one that has been customized for an enterprise with requirements similar to FCERA's requirements. Those vendors with experience implementing and modifying a successful retirement benefit system similar to FCERA will be likely to have sufficient expertise and capacity to satisfy FCERA's needs and



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goals. In sum, FCERA is looking for a vendor and a solution with a meaningful install base, a proven methodology, a legacy of success and a knowledge base that is constantly being revised and augmented.

## 5.5 Technical Architecture

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

### 5.5.1 Application Architecture

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

The solution must enable:

- Ease of integration with existing software applications and software tools
- Reuse of existing software applications and software tools
- Ease of deployment of new modules and/or additional or enhanced functionality
- Parameter-based and effective-date-driven configuration of FCERA's business rules
- Scheduling of jobs, reports and generation of various export files

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


### 5.5.2 Data Architecture

Data Architecture establishes and maintains a flexible infrastructure that facilitates data access, data definition, data management, data security and data integrity across FCERA's domain.

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

The system should provide data auditing and reporting.

The system should provide data encryption at the database, table, and field level.

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### 5.5.3 Platform Architecture

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

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

### 5.5.4 Integration Architecture

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

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

The solution must be able to integrate with other applications and platforms used at FCERA currently or in the future, including but not limited to:


- Microsoft NAV / General Ledger System
- EDMS
- State Street Bank, or other distribution banks
- Payroll service bureaus, such as ADP

### 5.5.5 Security Architecture

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

Vendors should also outline details surrounding the security architecture to ensure secure communications between the clients located at FCERA and the system/server that is



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hosted at the vendor site or at a 3<sup>rd</sup> party provider. If parts of the system will be accessed via a web browser outside of FCERA's internal network, the most recent Secure Sockets Layer (SSL) for secure communication between Web servers and Web browsers must be in place and a detailed description of all security and safety measures should be included in the response.

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

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

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


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

## **5.6 Operational Requirements**

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

### **5.6.1 System Sizing and Performance Requirements**

The proposed solution must be constructed, modified, and sized to accommodate the functionality and reporting requirements, on-line and as-needed. Please do not propose a solution requiring overnight, weekend or otherwise off-hour processing. Some exceptions may occur but otherwise FCERA requires that the system be able to handle full functionality without concurrent processing impeding any aspect of the enterprise's

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

The construction and modification of the proposed solution must meet the following performance standards and continue to meet them for no less than three (3) years postwarranty period, given an estimated volume growth of 5% per annum. If any of the following criteria are not being met within these standards, the vendor will be required to deliver any additional upgrades, hardware or software add-on's within 30 days to bring the solution back up to compliance.

- FCERA expects to have approximately twenty (25) end users plus two IT staff members for system administration access. These end users will not use the system equally, but will be using them concurrently. Additionally, for those vendors that price licenses based on named user licenses, it should be noted that these users are distinct users. FCERA will also need to have users for non-production (development, test, quality assurance, etc) instances.
- System response times to user actions must average no more than five (5) seconds. Response times are measured from the moment of depressing the RETURN or ENTER key or clicking a mouse button and seeing the response onscreen – not a status message promising an anticipated response. The vendor should disclose any particular functions (Boolean wild-card search, batch jobs, etc.) that fail to meet the above response time requirements in the Assumptions and Exceptions section.
- Processor-intensive or database-intensive processes such as reports and data imports/exports, and other batch processing, should never take more than one (1) hour to complete. Additionally, such events should never negatively influence day to day operations.


### **5.6.2 Scalability Requirements**

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

### **5.6.3 Availability**

FCERA, having no legacy expectations in the area of operational failover, is open to strategies for ensuring uptime. Full application failover to ensure "24/7 always on" availability is not a high priority.

The bidder's solution must provide system availability of 99.99 percent (all but approximately 1 hour per year) for all major operational components. Note that the term 'available' does not mean 'always on'. Rather, it refers to the time that the system is

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expected to be fully functional, excluding downtime for scheduled maintenance. Common definitions of the 'nines' availability levels are shown below.

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

#### **5.6.4 Software Version Control**

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

#### **5.6.5 Maintenance and Support**

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FCERA is interested in learning how a bidder will coordinate updates, upgrades, and technical support in the context of the bidder's solution, both during the course of the implementation project and after go-live. Specific to the implementation project, FCERA would like to know how the bidder will manage the introduction of product updates and upgrades into the delivered baseline once testing is underway. When the solution is in production, FCERA expects updates and upgrades to be implemented by FCERA and/or County IT staff with minimal vendor assistance.

The bidder should include a discussion of the timing and frequency of maintenance updates and product upgrades for the past 3-5 years, along with projected updates/upgrades for the next 2-3 years.

Further, if several vendors' products are used in an integrated solution (such as a PAS, a database, and an EDMS product), the bidder should describe their methods for ensuring the solution will continue to be stable given the update schedules of the various products.


The bidder should describe their customer support model, to include how support for their solution will be initiated and coordinated to resolution. The location of support staff (US-based or offshore) should be included in this description.

FCERA requires that the vendor maintain and support at least two (2) past versions of the solution.

#### **5.6.6 Redundant Storage**

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Protecting and securing FCERA data is paramount. For redundant storage strategies, FCERA is asking the bidders to recommend a storage configuration most appropriate to their solution and FCERA's computing environment. At a minimum, basic RAID5 capability is expected for the PAS database and EDMS document images. FCERA will consider other redundant storage strategies based on vendor recommendation.

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### 5.6.7 Recovery

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

## 5.7 Data Interfaces

There are two types of interfaces to the outside applications and systems. File-based exports and imports controlled by the Pension Administration System (the solution) and integrated connection-based links to other systems.

### 5.7.1.1 File Based Imports or Exports


Whether FCERA-hosted or vendor-hosted, the solution must provide functionality for file-based data interfaces. The solution will produce and consume fixed field-length ASCII files to support data interfaces with other systems. In addition, FCERA is interested in learning of the solution's ability to produce xml and csv file formats for future integration requirements.

There are currently several key entities that provide input to, or receive input from, the Pension Administration System, as shown below:

Source	Description	Direction
Fresno County Employers	PeopleSoft export of County Active Payroll data	From County to PAS
State Street Bank	Distribution payroll data. Excel-based files.	To State Street Bank from PAS To PAS from State Street Bank
Microsoft NAV	FCERA financial data	From PAS to NAV
Special District Employers	Special District Active Payroll. Excel worksheets or other communication.	From District employers to PAS. Currently hand-entered from Excel sheets and other communications.
Actuarial firm	Data extract to support periodic validations of Plan assumptions	From PAS to Actuary in Excel files
FCERA	Data extract to support Benefit Statement production by County of Fresno	From FCERA to County of Fresno

### 5.7.1.2 Connection Based Interfaces

It is FCERA's expectation that there will be no automated connection-based interfaces to outside entities as part of this project.

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## 5.8 Correspondence Generation

The generation of correspondence in the Pension Administration System is a function that touches many business areas.

For quality assurance, FCERA will need the ability to do selective reviews, or sampling, of mass mailings before their final acceptance.

The Member Correspondence process description in **Section 004 Functional Requirements** of this RFP provides details of the expectations around generating correspondence.

## 5.9 Data Conversion

FCERA expects the bidder to include the conversion of legacy data from PENSIONS, and possibly Excel, into the bidder's PAS database as part of this project.

## 5.10 Reporting


FCERA requires capability for ad hoc querying as well as structured reporting, via a simple and intuitive user-interface. The solution must be capable of quickly generating lists, reports, data extracts, mailing lists and correspondence in a variety of user-defined formats. Aside from the capabilities resident in PENSIONS, FCERA has no modern reporting platform in-house.

Detailed requirements around reporting can be found in the Reporting process description of **Section 004 Functional Requirements** of this RFP. In addition, specific reports are cited in each of the functional process specifications where appropriate. Select samples of FCERA reports are include in Appendix B of this RFP. While samples are provided to give the bidder a general idea of the nature of various reports currently in use, they are **not** intended as report specifications. Detail report analysis and specification will be conducted by the selected bidder during the implementation phase of the project.

## 5.11 Integration with the Electronic Document Management System

FCERA has no document management system at this time. The new Pension Administration System should provide the ability to view member's documents stored in the Electronic Document Management System (EDMS) from within the Pension Administration System. FCERA is requesting that bidders include an EDMS solution in their proposal, whether that solution be a 3<sup>rd</sup> party integration or an embedded capability of the PAS application. While sub-contracting parts of this capability is acceptable, FCERA expects bidders to assume responsibility for the complete solution, including the backfile conversion.

The EDMS functional specification in **Section 004 Functional Requirements** of this RFP provides extensive detail on this function.

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## 5.12 Workflow & Case Management – Built-in features

FCERA desires a simple integrated case and workflow management system. FCERA's vision of a complete solution includes some process-centric functions that may not normally be included in a Pension Administration System. Much of this additional functionality revolves around workflow and case management. While the overall workflow needs might be basic, the workflow may include multiple staff members and hand-offs, the ability to add notes and comments to a specific case, the ability to attach correspondence or other supplemental files to the case, the ability to set reminders and the ability to track and report on cases over time.

The Workflow process description in **Section 004 Functional Requirements** of this RFP contains details of the expectation around workflow.

As part of this RFP response, vendors are asked to describe their product's out-of-the-box capabilities and functionality in this area in the answer sheet in **Section 006 Technical Requirements Bidder Response**.

## 5.13 Standards

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

### 5.13.1 User Interface Standards

FCERA will give preference to a solution that uses a web browser-based user interface. Client-server interfaces will not be disqualified, however.

The bidder's solution will employ screen designs consistent with currently accepted standards for computer system usability and accessibility.


The overall solution's appearance will conform to current design standards as much as possible. Validations of data values in the system should be both at the field level and at the process level.

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

The solution will allow for an unambiguous selection of values that are completely visible in the list. Drop-down selection lists must have a logical ordering that makes the selection quick and easy. For example, dates must be listed in "date" order, not "alpha numeric" order where applicable.

The application will provide a centralized searching capability including (but not limited to) options to search by Name, PID, SSN, Employer, Member Status, Active/Retired, and other relevant criteria. Any combination of criteria will be selectable and used to perform the search from a single screen.



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The screen designs will allow zooming and/or changing to low resolution to meet users' viewing preference. Some users prefer the dense information a high resolution screen offers. Other users prefer less resolution with larger fonts.

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

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

### 5.13.2 Configuration Standards

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FCERA desires a variety of user-maintained, effective date-driven values used in rules with configurable parameters. The proposed solution must include tools that are intuitive and easy to use for non-technical administrators to modify these values and rules. Such rules cannot be dependent on hard-coded values. Specific requirements in this regard are documented in the various process specifications of **Section 004 Functional Requirements** of this RFP.

### 5.13.3 Universal Update

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


## 5.14 Database

FCERA does not have a specific preference for a database product. However, FCERA will give preference to a solution that utilizes Microsoft SQL and/or Oracle. Non-enterprise level databases will not be considered. Bidders should include cost information for any database licenses in **Section 12 Cost Proposal** of this RFP if applicable.

## 5.15 Implementation Requirements

FCERA will rely on the vendor to determine the most time and cost efficient method of implementing the system into FCERA's environment. However, FCERA is concerned that implementation standards are met. The subsections below discuss standards for requirements gathering, testing, training, and project documentation.

**Section 008 Implementation Plan** of this RFP contains more information regarding implementation planning and requests further responses from bidders.

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### 5.15.1 Requirements Confirmation Standards

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FCERA has undertaken a significant effort to document the relevant requirements and business processes. It is expected that the vendor will need to confirm these requirements in a series of work sessions as an initial phase of the project. The vendor's team shall have the necessary experience to understand the requirements without elaborate explanation. FCERA has limited staff resources to devote to the project, and as such does not have time to educate the vendor's staff in defined benefit plan business rules. The vendor's business analyst(s) are expected to be familiar with the CERL of 1937 and to have public retirement system experience in general.

The requirements confirmation sessions must be scheduled in a manner that does not impact FCERA's operations. A maximum of eighteen hours of meetings may be scheduled with staff each week, and no more than six hours in any given day.

### 5.15.2 Testing Standards

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

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

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

A parallel testing phase will be required for the project. The vendor must include a three month parallel test in the implementation plan.

### 5.15.3 Training and Training Manual Standards


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

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

The regular training manual the vendor provides must be editable and organized by FCERA's business processes, such that staff can use the manuals for their everyday work. For example, rather than describing each screen of member information, the manual should describe the step by step process for setting up a service purchase



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contract. These materials will be delivered in both hard copy and editable soft copy formats. The system must also provide on-line help for all screens and fields.

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

- update contribution rates
- add bargaining units
- update interest rates
- change COLA rate

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

#### **5.15.4 Project Documentation**

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

- All business requirements must be documented
- The technical design of the system must be completely documented
- All software releases must be documented (i.e., release notes)
- All change orders must be documented
- The vendor must submit written project reports on a regular basis
- All project expenditures must be tracked
- FCERA must have a minimum of five full business days to review all documentation that requires a sign-off. FCERA will be granted extensions if the vendor submits documents that are particularly lengthy.



## 006 - Technical Requirements Bidder Response Form

### 6.1 What this document is about

This section is a continuation of the **005 - Technical Requirements** document.

Vendors are required to complete **all questions** and sub-sections.

### 6.2 Vendor Response Form – FCERA-Hosted environment

#### 6.2.1 General Questions

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

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

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


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



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

Please describe the overall security architecture of the solution. How will requirements and policies around safeguarding, accessing and distributing FCERA data be enforced? How is security address across all users and applications while not impeding business operations?

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

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### **6.2.2 Software Requirements**

Which database platforms are supported by the solution (Oracle, SQL Server, Other – please specify)?
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Which Database Connectivity Standards are used by the System (e.g. ODBC compliance, JDBC, etc.)
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Please indicate the type of database license(s) that will be required to support the solution
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The solution must provide the following: (any NO answers must be detailed below)

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

Explanation of any "NO" answers:

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

Please include a description of the type of authentication employed with the application.

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

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



Batch processing should be limited to employer data imports and tasks like monthly distribution payroll, annual member statements, active payroll import, etc. Please disclose the full breadth of batch processes below accompanied by reasons for these batch jobs. For each job, please also list the estimated impact on normal FCERA operations.


### 6.2.3 Hardware Requirements

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

Please include the number and type of **servers** needed to support an environment of 20 concurrent user sessions. Include information on recommended architecture setup, i.e. Production, Staging and Development servers both for the application as well as for any Databases needed. Please include an explanation to the recommended number of servers.

Please also include the following information with each server:

- 1) Processor Speed
- 2) Number of Processors needed by server
- 3) Memory
- 4) Storage requirements

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

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

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

- There are approximately 16,000 total Active, Deferred, Suspense, and Retired Members
- There are approximately 24,000 total membership records
- The membership growth rate is approximately 5% per year



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

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

#### **6.2.4 System Recoverability**

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

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

#### **6.2.5 Operational Support**

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

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

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

### **6.2.6 Reporting**

Please describe how reporting is implemented in your solution. Is a Crystal Reports module used or is some other reporting solution integrated into the solution? What level of expertise is needed to create a new report or query? Please go into detail on the ease-of-use provided by your reporting module and the skill level needed to use the different features it provides.

### **6.2.7 EDMS Integration**

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

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### **6.2.8 Workflow and Case Management**

FCERA desires a simple integrated workflow management system. FCERA's vision includes some process-centric functions that may not normally be included in a Pension Administration System. Much of this additional functionality revolves around workflow and case management. While the overall workflow needs might be basic, the workflow may include multiple staff members and hand-offs, the ability to add notes and comments to a specific case, the ability to attach correspondence or other supplemental files to the case, the ability to set reminders and the ability to track and report on cases over time.

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

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### **6.3 Vendor-Hosted Option (externally hosted environment by Vendor or 3<sup>rd</sup> Party)**

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

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

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Will the application be hosted by you (the Software Vendor) or by a 3<sup>rd</sup> Party? If the application will be hosted by a 3<sup>rd</sup> Party provider, please provide information on this provider below.

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Please list minimum hardware and software requirements for the client PCs from which the application will be accessed. Specifically:

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

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

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

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

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

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

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

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How do you ensure business continuity in case of a disaster? What are your backup strategies and what type of site redundancy do you have in place (e.g. how often do you backup the data and the system? Do you maintain a hot site or warm site? Etc.)

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

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

Is there any additional information that you would like to relay to FCERA about the vendor-hosted option that was not addressed by the questions above?




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## 007 – USER EXPERIENCE


### 7.1 What this document is about

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

### 7.2 Modules to be Demonstrated

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

1. Search for a member by name, assuming the spelling is not exactly known
2. View the initial screen that appears for the member
3. Open a view of the member's employment history
4. Open a view of the member's service history or service summary
5. Open a view to see if the member has any open service purchase contracts
6. Open a view of the member's last contribution in the system
7. Open a benefit estimate wizard or screen
8. Open a help screen explaining the benefit estimate functionality
9. Attempt to enter a retirement date before the first eligible date to retire
10. Enter the member's first eligible date to retire
11. Change the salary to project a 10% salary increase from today
12. Change the service to reflect a purchase of service of 5 years
13. Produce an estimate for multiple retirement options
14. Save the estimate to the system
15. Print the estimate for the member
16. Change the date of retirement to 2 years later
17. Produce, save and print a 2<sup>nd</sup> estimate using the new retirement date
18. Scan a member document, index it, have it appear on a member's record in the PAS, open the document and annotate it, and then store the annotated document to the repository.
19. Access the online User Guide or Help while in the application
20. Complete a Simple Age Adjustment to change the member's age from 59 to 39 and recalculate the contribution/refund amount.

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## 008 – IMPLEMENTATION PLAN

### 8.1 What this document is about


FCERA requires the winning vendor to have an implementation plan that best ensures the delivery of the following:

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

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


### 8.2 Scope, Constraints, Guidelines of the Vendor's Responsibility

- The implementation timeline is expected to be 24-36 months from kick-off to go-live.
- The vendor will work with FCERA staff and a third party oversight project manager.
- FCERA's core team includes several staff subject matter experts. Staff at FCERA will prioritize this project to meet the needs of the software vendor. However, there will be no FCERA staff resources who will be 100% dedicated to this project.
- The general approach to implementation is expected to be one of incremental delivery, rather than "big-bang". FCERA would like to see an implementation plan that includes numerous short (on the order of 1-2 months in duration) delivery cycles. The scope of each cycle will be firm. The delivered artifacts will be fully functional and have relevance to the user. The vendor can employ their own hybrid of classical Waterfall methods and/or Agile methods. FCERA staff will participate with the vendor in defining the scope of each delivery, as well as testing and verification of each delivery. It is felt that this approach will mitigate

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risk by providing the opportunity to make early course corrections toward a successful implementation.

- Precise documentation of planned release content will be expected in advance of delivery. Draft release notes with confirmed content of the delivery will be expected as delivery date approaches, with final release notes accompanying the delivery. FCERA will use this information to plan their testing activities prior to receiving a delivery of functionality.
- To ensure common vocabulary, vendor should explicitly define vocabulary used in their project lifecycle, as the usage of words like *release*, *testing*, *build*, *dry run*, *requirements*, *configuration* is often unique to a vendor's practice.
- FCERA will accept only complete and tested deliveries, to include all database schema, converted data, app, docs, release notes, user documents, etc that are germane to the delivery. Vendor will test deliveries with sanitized converted FCERA data prior to delivering to FCERA.
- FCERA is expecting the vendor to assign a team that has significant experience working with the software vendor. The team assigned will be required to come to any vendor demonstrations and will be interviewed by FCERA staff.
- FCERA may be subject to an audit of the security model that is configured for the system. The vendor should include the requirements gathering, configuration, and documentation of a security model that fulfills FCERA's needs as part of the scope of the project.
- FCERA expects the vendor to assist in the installation and initial setup of the hardware, commodity software, and database software.
- FCERA expects the proposed cost of the project to include project management and implementation services from the vendor.
- FCERA expects the proposed cost to include the total cost of all configuration and any required customization costs (if applicable.)
- FCERA expects the proposed cost to include testing that will be performed by the vendor; however, user acceptance testing will be performed by staff at FCERA.
- FCERA expects that the vendor will provide training for key staff on the system. FCERA also expects that the vendor will also provide guidance to the IT staff member on the initial setup of the overall system, including the hardware, software, database, and the financial software during the initial installation and configuration.
- FCERA expects the vendor to include documentation for the system requirement specifications and the system configuration as part of the scope of this project.

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

### 8.3 Response Requirements

For this portion of the response, the vendor should present three documents, or three sections to the response:

#### 8.3.1 Scope of the implementation

The vendor should discuss the overall scope of responsibility and also provide the details of the tasks that are considered in scope of the implementation. The vendor must also include a list of the tasks that FCERA will be responsible for. This document should be a maximum of five pages. The vendor's goal should be to enable FCERA to understand and confirm the scope of the vendor's responsibilities versus what FCERA needs to do, and to show the major tasks that are included within the scope of the vendor's responsibilities.


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

#### 8.3.2 Implementation plan

Given the constraints and guidelines above, the vendor should provide a concise narrative discussing the plan for implementing the system, as well as a work breakdown schedule in Microsoft Project. Phases, tasks, subtasks, durations, resources, and milestones should be included in the document. Effort / hours are not a requirement for the implementation plan.

#### 8.3.3 Data conversion plan

The bidder should provide a concise plan for how legacy data will be converted to the new environment. Included in this plan should be an explanation of the scope of work specific to data conversion, the number of hours estimated for data conversion, the calendar duration involved, and the expectations of FCERA staff for providing data. At

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the appropriate time in the project, FCERA will expect the vendor to provide a complete and detailed data mapping document that explains every field for which FCERA will be asked to provide data. This technical document must be maintained throughout the course of the project with proper versioning and quality controls.

### 8.3.4 Staffing plan

A staffing plan of a maximum of three pages should be included. All resources assigned to the project must be identified and details presented regarding their qualifications, experience, and tenure with the company.


The following areas must be discussed within the three documents listed above:

Item	Questions to Answer
Scope	<p>What is the scope of the implementation?</p> <p>What is considered out of scope for the vendor but still necessary for the project?</p>
Project Duration, Effort, and Phasing	<p>How long will the overall project take?</p> <p>What are the main project phases?</p> <p>How long will each phase take?</p> <p>What are the major activities/tasks in the project?</p> <p>What are the hour estimates for each phase?</p> <p>What are the start and finish dates for each phase of the project?</p>
Deliverables and Milestones	<p>What are the project deliverables?</p> <p>What are the milestones in the project?</p>
Methodology	<p>What formal methods and disciplines will be employed to effect high-quality releases of functionality?</p> <p>What methods will be employed for legacy data conversion?</p>
Staffing	<p>What resources are needed for each phase of the project?</p> <p>Which activities from the vendor require on-site resources?</p> <p>Will there be subcontractors utilized, and if so, what will be their role?</p> <p>Who is assigned to the project?</p> <p>How long have they been employed with the vendor?</p> <p>What is their experience?</p> <p>What are their qualifications?</p> <p>Who is leading the project?</p>

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Training	<p>What types of training are offered?</p> <p>How is training coordinated with incremental deliveries?</p> <p>What user documentation will be provided?</p> <p>To what extent is the training and user manual customized to the solution provided to FCERA?</p>
Change Requests	<p>What is the change request process for future enhancements and modifications?</p>
Documentation	<p>What documentation will be provided during the course of the project?</p> <p>How will the vendor ensure FCERA's requirements are properly documented?</p> <p>How will the vendor ensure that training and user documentation is continually updated as the product evolves in the future?</p>
Risk and Issue Management	<p>How will risks and issues be managed and mitigated?</p>

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

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## 009 – MAINTENANCE & SUPPORT

### 9.1 What this document is about

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

### 9.2 Response Form

#### MAINTENANCE AND SUPPORT QUESTIONS:

Please describe the general structure of your support & maintenance plan along with the costs and options available.

--

Can standard support be available from 8:00 A.M. to 5:30 P.M. Pacific Time, Monday – Friday?

--

How is after-hours support provided?

--

Describe how an issue gets escalated if there is not an immediate solution.

--

How would FCERA report a new issue or problem?

--

How are existing issues tracked?


--

How often are software updates scheduled?

--


Describe the process by which software updates are released, and how FCERA would go about implementing these software updates.

--

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	<b>Maintenance &amp; Support</b>	


What is the procedure for requesting a small change (estimate 1-4 hours coding time)?
What is the procedure for requesting a larger change (estimate 5-20 hours coding time)?
What is the procedure for requesting a large change to the system?
What are the steps FCERA would take to get assistance in defining requirements for a change?
Explain the approval procedures for a newly requested change.
What is the expected turnaround time for a simple bug fix that is easily identified and fixed?
What is the expected turnaround time for small, medium and large change requests?
What is the process and turnaround time for an "emergency" modification, made necessary by a significant and unexpected business rule change?
In what way is the vendor's customer support superior to other competitors?
Can the vendor guarantee that FCERA will receive primary customer support from a staff member thoroughly trained in FCERA's system? Will this staff member be assigned to the PAS project at least three months prior to go-live? Will the vendor guarantee that this staff member remain FCERA's primary support for at least 18 months after go-live?



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	<b>Maintenance &amp; Support</b>	

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

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

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	Project: PENSION ADMINISTRATION SYSTEM	
	Organization & References	

## 010 – ORGANIZATION & REFERENCES


### 10.1 What this document is about

#### Instructions for Vendors:


Please list references for *similar projects* over the last three (3) years in reverse chronological order (most recent first). For the modules and versions, please be sure to specify which projects involved the SAME version that is being proposed to FCERA. Please list a maximum of five (5) references. ***Please note that cost is a mandatory field.***

### 10.2 References Worksheet


Reference #1			
Client Name			
Name of Contact		Title	
Telephone Number			
E-mail		City / State	
Project Start / Completion (Use month / year)		Modules and Versions Implemented	
Total Vendor Cost (including vendor's project management, implementation, testing, support, software license, hardware, and travel expenses and other costs).			
Approximate Implementation Hours			
Comments			

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	Organization & References		


Reference #2			
Client Name			
Name of Contact		Title	
Telephone Number			
E-mail		City / State	
Project Start / Completion (Use month / year)		Modules and Versions Implemented	
Total Vendor Cost (including vendor's project management, implementation, testing, support, software license, hardware, and travel expenses and other costs).			
Approximate Implementation Hours			
Comments			

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	<b>Organization &amp; References</b>		


Reference #3			
Client Name			
Name of Contact		Title	
Telephone Number			
E-mail		City / State	
Project Start / Completion (Use month / year)		Modules and Versions Implemented	
Total Vendor Cost (including vendor's project management, implementation, testing, support, software license, hardware, and travel expenses and other costs).			
Approximate Implementation Hours			
Comments			

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Reference #4			
Client Name			
Name of Contact		Title	
Telephone Number			
E-mail		City / State	
Project Start / Completion (Use month / year)		Modules and Versions Implemented	
Total Vendor Cost (including vendor's project management, implementation, testing, support, software license, hardware, and travel expenses and other costs).			
Approximate Implementation Hours			
Comments			

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	<b>Organization &amp; References</b>		

Reference #5			
Client Name			
Name of Contact		Title	
Telephone Number			
E-mail		City / State	
Project Start / Completion (Use month / year)		Modules and Versions Implemented	
Total Vendor Cost (including vendor's project management, implementation, testing, support, software license, hardware, and travel expenses and other costs).			
Approximate Implementation Hours			
Comments			

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	<b>Project: PENSION ADMINISTRATION SYSTEM</b>	
	<b>Assumptions &amp; Exceptions</b>	

## 011 – ASSUMPTIONS AND EXCEPTIONS

### 11.1 What this document is about

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

### 11.2 Response Requirements

#### 11.1.1 Assumptions

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

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

#### 11.1.2 Exceptions

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

**Pension Administration System**  
**Cost Proposal Worksheet**  
**FCERA**

**FCERA OWNED ENVIRONMENT - SUMMARY**

Totals by Fiscal Year and Type

Item	FY'11	FY'12	FY'13	FY'14	FY'15	TOTAL
Software						\$ -
SW Maintenance & Support						\$ -
Hardware						\$ -
HW Maintenance & Support						\$ -
Implementation Services						\$ -
<b>Totals</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

Note: FCERA's Fiscal Year starts on July 1 and ends on June 30



## Pension Administration System

## Cost Proposal Worksheet

## FCERA

## FCERA OWNED ENVIRONMENT - SOFTWARE

**Vendor Instructions:** "Software" refers to any licensed or commercial software that is proposed and required to run and use the proposed solution. Customization and configuration are not included.

[illegible]**TOTAL**

**\$ -**

### Totals By Year

Fiscal Year	Annual Base Cost	Maintenance & Support	Total
FY '11			\$ -
FY '12			\$ -
FY '13			\$ -
FY '14			\$ -
FY '15			\$ -
<b>TOTAL</b>	\$ -	\$ -	\$ -

**Comments:**

**Pension Administration System  
Cost Proposal Worksheet  
FCERA**

## FCERA OWNED ENVIRONMENT - HARDWARE

**Vendor Instructions:** "Hardware" refers to any PC, server, or peripheral asset that is proposed and required to run and use the proposed solution.

[illegible]

TOTAL

\$ -

### Totals By Year

Fiscal Year	Annual Base Cost	Maintenance & Support	Total
FY '11			\$ -
FY '12			\$ -
FY '13			\$ -
FY '14			\$ -
FY '15			\$ -
<b>TOTAL</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

**Comments:**

**Pension Administration System  
Cost Proposal Worksheet  
FCERA**

**IMPLEMENTATION**

**TOTAL**

Task Area	Duration	From Date	To Date	# of Staff	Avg. Hourly Rate	Total Hours	Total Cost
Requirements							
Development							
Project Management							
Testing							
Data Conversion							
Training							
Cut-Over Support							

**TOTALS**

**0**

**0 \$ -**

Legend	
Duration	Measured in months; duration of the task area
From date	Date task area begins
To date	Date task area ends
# of Staff	Number of individuals assigned to task area
Avg. Hourly Rate	Average bill rate for all individuals in task area, including all travel costs
Total hours	Total hours of service provided for task area
Total cost	Total cost of task area

**Pension Administration System  
Cost Proposal Worksheet  
FCERA**

YEAR 1							
Task Area	Duration	From Date	To Date	# of Staff	Avg. Hourly Rate	Total Hours	Total Cost
Requirements							
Development							
Project Management							
Testing							
Data Conversion							
Training							
Cut-Over Support							

<b>TOTALS</b>	0		0	\$	-
---------------	---	--	---	----	---

YEAR 2							
Task Area	Duration	From Date	To Date	# of Staff	Avg. Hourly Rate	Total Hours	Total Cost
Requirements							
Development							
Project Management							
Testing							
Data Conversion							
Training							
Cut-Over Support							

<b>TOTALS</b>	0		0	\$	-
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**Pension Administration System  
Cost Proposal Worksheet  
FCERA**

<b>YEAR 3</b>							
<b>Task Area</b>	<b>Duration</b>	<b>From Date</b>	<b>To Date</b>	<b># of Staff</b>	<b>Avg. Hourly Rate</b>	<b>Total Hours</b>	<b>Total Cost</b>
Requirements							
Development							
Project Management							
Testing							
Data Conversion							
Training							
Cut-Over Support							
<b>TOTALS</b>	<b>0</b>					<b>0</b>	<b>\$ -</b>

**Pension Administration System**  
**Cost Proposal Worksheet**  
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**HOSTED ENVIRONMENT - SUMMARY**

Totals by Fiscal Year and Type

**OPTION 2: Vendor-Hosted During Development**

Item	FY'11	FY'12	FY'13*	FY'14	FY'15	TOTAL
Software						\$ -
SW Maintenance & Support						\$ -
Hardware						\$ -
HW Maintenance & Support						\$ -
Implementation Services						\$ -
<b>Totals</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

\*It is assumed the transition from a hosted environment to a FCERA-owned environment would take place this year. The vendor should include the costs of this transition.

**OPTION 3: Vendor-Hosted Through FY'15**

Item	FY'11	FY'12	FY'13*	FY'14	FY'15	TOTAL
Software						\$ -
SW Maintenance & Support						\$ -
Hardware						\$ -
HW Maintenance & Support						\$ -
Implementation Services						\$ -
<b>Totals</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

Note: FCERA's Fiscal Year starts on July 1 and ends on June 30

## Pension Administration System

## Cost Proposal Worksheet

## FCERA

## HOSTED ENVIRONMENT - SOFTWARE

**Vendor Instructions:** "Software" refers to any licensed or commercial software that is proposed and required to run and use the proposed solution. Customization and configuration are not included.

[illegible]**TOTAL**

\$ -

### Totals By Year

Fiscal Year	Annual Base Cost	Maintenance & Support	Total
FY '10-'11			\$ -
FY '11-'12			\$ -
FY '12-'13			\$ -
FY '13-'14			\$ -
FY '14-'15			\$ -
<b>TOTAL</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

**Comments:**

## Pension Administration System Cost Proposal Worksheet FCERA

## HOSTED ENVIRONMENT - HARDWARE

**Vendor Instructions:** "Hardware" refers to any PC, server, or peripheral asset that is proposed and required to run and use the proposed solution.

[illegible]

TOTAL

\$ -

### Totals By Year

Fiscal Year	Annual Base Cost	Maintenance & Support	Total
FY '10-'11			\$ -
FY '11-'12			\$ -
FY '12-'13			\$ -
FY '13-'14			\$ -
FY '14-'15			\$ -
<b>TOTAL</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

**Comments:**



**Pension Administration System  
Cost Proposal Worksheet  
FCERA**

<b>IMPLEMENTATION</b>							
<b>TOTAL</b>							
Task Area	Duration	From Date	To Date	# of Staff	Avg. Hourly Rate	Total Hours	Total Cost
Requirements							
Development							
Project Management							
Testing							
Data Conversion							
Training							
Cut-Over Support							
<b>TOTALS</b>		0				0 \$ -	
<b>Legend</b>							
Duration	Measured in months; duration of the task area						
From date	Date task area begins						
To date	Date task area ends						
# of Staff	Number of individuals assigned to task area						
Avg. Hourly Rate	Average bill rate for all individuals in task area, including all travel costs						
Total hours	Total hours of service provided for task area						
Total cost	Total cost of task area						

**Pension Administration System  
Cost Proposal Worksheet  
FCERA**

YEAR 1							
Task Area	Duration	From Date	To Date	# of Staff	Avg. Hourly Rate	Total Hours	Total Cost
Requirements							
Development							
Project Management							
Testing							
Data Conversion							
Training							
Cut-Over Support							


<b>TOTALS</b>	0		0	\$ -
---------------	---	--	---	------

YEAR 2							
Task Area	Duration	From Date	To Date	# of Staff	Avg. Hourly Rate	Total Hours	Total Cost
Requirements							
Development							
Project Management							
Testing							
Data Conversion							
Training							
Cut-Over Support							

<b>TOTALS</b>	0		0	\$ -
---------------	---	--	---	------


**Pension Administration System  
Cost Proposal Worksheet  
FCERA**

<b>YEAR 3</b>							
<b>Task Area</b>	<b>Duration</b>	<b>From Date</b>	<b>To Date</b>	<b># of Staff</b>	<b>Avg. Hourly Rate</b>	<b>Total Hours</b>	<b>Total Cost</b>
Requirements							
Development							
Project Management							
Testing							
Data Conversion							
Training							
Cut-Over Support							
<b>TOTALS</b>	<b>0</b>					<b>0</b>	<b>\$ -</b>

	<b>FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION</b>	<b>FCERA-PAS-RFP-A</b>
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## **Appendix A - Response to Functional Requirements**

Appendix A contains a listing of all functional requirements presented in Section 004 of this RFP, copied to this appendix for the bidders' convenience in responding.


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	<b>Appendix A – Requirements Response</b>	

## A.1 Benefits Statements (300)


ReqID	Process	Requirement Detail	Priority	Meets Requirement?
300.001	Benefits Statements	<p>The PAS will provide the capability to select member status and Plan Sponsor status for which statements will be issued.</p> <p>The following type of members receive annual benefits statements:</p> <ul style="list-style-type: none"> <li>• Active County and District</li> <li>• Active, on leave of absence</li> <li>• Deferred for County and District</li> <li>• Suspense for County and District</li> <li>• Deferred members of inactive Plan Sponsors</li> </ul>	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.002	Benefits Statements	The PAS will provide capability to produce member statement extract files with data as of the end of the last pay period of the year or any other date selected. The year-end interest posting may or may not be included at FCERA's discretion.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.003	Benefits Statements	The PAS will provide capability to produce member statement extract files with data as of the end of the last pay period of the year, including interest postings or any other date selected.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.004	Benefits Statements	The PAS will provide capability to produce trial member statement extract data files.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.005	Benefits Statements	The PAS will provide capability to exclude certain data from member statement extract files as well as changes that take place after the statement date.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.006	Benefits Statements	The PAS will provide capability to record and store statement effective date, and other selection criteria associated with a statement production run.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.007	Benefits Statements	The PAS will provide capability to use pay date / pay period parameters for inclusion / exclusion of member contribution and service time data from member statement extract files.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.008	Benefits Statements	The PAS will provide capability to produce member statement detail reports.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO

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<b>ReqID</b>	<b>Process</b>	<b>Requirement Detail</b>	<b>Priority</b>	<b>Meets Requirement?</b>
300.009	Benefits Statements	The PAS will provide capability to produce member statement summary reports.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.010	Benefits Statements	The PAS will provide capability to produce a trial statement run, holding statements in a staging area, but not generating a print file or posting to member record until user executes the post option to keep the statements permanently.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.011	Benefits Statements	The PAS will provide capability to produce all member statement reports against a trial run.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.012	Benefits Statements	The PAS will provide capability to post or cancel a member statement trial run.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.013	Benefits Statements	The PAS will provide capability to initiate the member statement process at any time.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.014	Benefits Statements	<p>The PAS will provide capability to include changes to certain demographic data that occur after the FCERA-determined date in the member statement extract files.</p> <p>As opposed to the amounts and service being reported, changes to certain demographic data should be captured and included in the data even though the changes took place after the FCERA-determined date. The following list shows some data elements that will be included as of the date that the data files are generated:</p> <ul style="list-style-type: none"> <li>• Name changes</li> <li>• Current address changes</li> <li>• Status changes (specifically for separated employees)</li> <li>• Updated divorce information</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.015	Benefits Statements	The PAS will provide the capability to clearly identify all dollar amounts as pre/post tax.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.016	Benefits Statements	The PAS will provide the capability to edit member statement data prior to printing.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.017	Benefits Statements	The PAS will provide benefits statement template that can be modified to fit various scenarios, i.e., to accommodate different Plan Sponsors and types of memberships or to change the verbiage.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.018	Benefits Statements	<p>The PAS will provide the capability to produce annual retirement statements which include the following categories of member data, specific to each member:</p> <ul style="list-style-type: none"> <li>• Member name</li> <li>• Current mailing address</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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	<b>Project: PENSION ADMINISTRATION SYSTEM</b>		
	<b>Appendix A – Requirements Response</b>		

ReqID	Process	Requirement Detail	Priority	Meets Requirement?
		<ul style="list-style-type: none"> <li>• Soc. Sec. Number(last 4 digits)</li> <li>• Department</li> <li>• Date of birth</li> <li>• Date of employment</li> <li>• Status</li> <li>• Employment status</li> <li>• Classification (tier)</li> <li>• Entry age for contributions</li> <li>• Date of entry into the system</li> <li>• Beneficiary(s)</li> <li>• Years of credited service (all tiers) (excluding installments in process)</li> <li>• Current retirement contribution</li> <li>• Total contributions for the year</li> <li>• Employee contribution balances as of 12/31 previous year broken down to Taxed, Taxable, Interest and Total for the following categories: <ul style="list-style-type: none"> <li>○ Basic</li> <li>○ Cost-of-Living (COL)</li> <li>○ Supplemental Basic</li> <li>○ Supplemental COL</li> </ul> </li> <li>• Total contributions and interest</li> <li>• Retirement benefit estimates for first eligible date</li> <li>• Any other notes or important information (TBD)</li> </ul>		
300.019	Benefits Statements	The PAS will provide capability to store 'Years of Service' as calculated in preparing the member statement data so that the value is viewable without further calculation.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.020	Benefits Statements	The PAS will provide capability to generate Benefits Statements, with the option to either generate an extract file for use by a printing vendor or for in-house printing.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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<b>ReqID</b>	<b>Process</b>	<b>Requirement Detail</b>	<b>Priority</b>	<b>Meets Requirement?</b>
300.021	Benefits Statements	<p>The PAS will provide the capability to generate print files in a number of data formats, including, but not limited to:</p> <ul style="list-style-type: none"> <li>• Adobe Acrobat PDF</li> <li>• Microsoft Word</li> <li>• Microsoft Excel</li> <li>• HTML</li> <li>• Rich Text File</li> <li>• Plain Text File</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.022	Benefits Statements	The PAS will provide the capability to issue a single benefit statement from the member record screen.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.023	Benefits Statements	The PAS will provide the capability to issue an individual benefit statement and/or multiple statements by groups, batches, or the entire FCERA membership if needed.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
300.024	Benefits Statements	The PAS will provide the capability to re-print or view a specific benefit statement.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO




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## A.2 Member Information Change (302)


ReqID	Process	Requirement Detail	Priority	Meets Requirement?
302.001	Member Information Changes	<p>The PAS will provide the capability to change basic member information with the ability to define different security/access levels on different fields. For example,</p> <ul style="list-style-type: none"> <li>• Member Name (First, Middle, Last and Suffix)</li> <li>• Employee No.</li> <li>• SSN</li> <li>• Member ID</li> <li>• Gender</li> <li>• Hire Date</li> <li>• Membership Date</li> <li>• Date of Birth (DOB)</li> <li>• Contribution Entry Age</li> <li>• Member Status</li> <li>• Member Code</li> <li>• Contribution Percent</li> <li>• Position / Title</li> <li>• Department</li> <li>• Bargaining Unit</li> <li>• Salary Range</li> <li>• Step</li> <li>• Bi-weekly Rate</li> <li>• Marital Status / Domestic Partnership</li> <li>• Spouse Name / Domestic Partner Name</li> <li>• Spouse / Domestic Partner SSN</li> <li>• Employer</li> </ul>	1	<input type="checkbox"/> YES <input type="checkbox"/> NO

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302.002	Member Information Changes	The PAS will provide the capability to store multiple addresses for a member, i.e. home and mailing addresses.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.003	Member Information Changes	The PAS will provide the capability to allow changes to address fields via payroll transmittal file or via manual adjustment by staff member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.004	Member Information Changes	<p>The PAS will provide the capability for the following fields at minimum to be stored for each address type:</p> <ul style="list-style-type: none"> <li>• Street Address / P.O. Box</li> <li>• Address line 2</li> <li>• City</li> <li>• State</li> <li>• Zip Code</li> <li>• Country</li> <li>• Email</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.005	Member Information Changes	<p>The PAS will provide the capability to change the following fields for a member's address:</p> <ul style="list-style-type: none"> <li>• Street Address (C/O address line)</li> <li>• Address line 2</li> <li>• P.O. Box</li> <li>• City</li> <li>• State</li> <li>• Zip Code</li> <li>• Country</li> <li>• Email</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.006	Member Information Changes	The PAS will provide the capability to keep an audit trail of all changes performed, including a time/date stamp and a performing user ID or system ID for payroll feeds.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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302.007	Member Information Changes	The PAS will provide the capability to keep history of all changes performed and must allow for reporting on a per-member basis with detailed history as well as generate change information in an “on demand” change report for staff members to review.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.008	Member Information Changes	The PAS will provide the capability to store financial information for direct deposit purposes including but not limited to the following data: <ul style="list-style-type: none"> <li>• Checking / Savings indicator</li> <li>• Dollar amounts for partial deposits</li> <li>• Bank Account number</li> <li>• Institution Name</li> <li>• Routing Number(s) for each account/institution</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.009	Member Information Changes	The PAS will provide the capability to store multiple concurrent accounts for direct deposits.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.010	Member Information Changes	The PAS will provide the capability for drop-down selection of existing Bank institutions and corresponding routing numbers if these already exist in a table in the system.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.011	Member Information Changes	The PAS will provide the capability to add new institution names and routing numbers.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.012	Member Information Changes	The PAS will provide the capability to change the member's first and last names, middle name or initial and suffix.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.013	Member Information Changes	The PAS will provide the capability to maintain history of name changes.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.014	Member Information Changes	The PAS will provide the capability to change the member's social security information; employee number or member ID restricted to specific security access rights.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.015	Member Information Changes	The PAS will provide the capability to store history of SSN, employee number or member ID number changes.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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302.016	Member Information Changes	<p>The PAS will provide the capability to record and change the following information for member's beneficiary(ies):</p> <ul style="list-style-type: none"> <li>• Name (First, Middle, Last, Suffix)</li> <li>• Birth Date</li> <li>• SSN (if applicable/existing)</li> <li>• Relationship to Member</li> <li>• Date of Birth</li> <li>• Priority #</li> <li>• Percent</li> <li>• Address</li> <li>• City</li> <li>• State</li> <li>• Zip Code</li> <li>• Country</li> <li>• Phone</li> <li>• Email</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.017	Member Information Changes	The PAS will provide the capability to enter Trust information for beneficiary (ies).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.018	Member Information Changes	The PAS will provide the capability to receive changes to the member demographic/basic member information data via Payroll feed (PSBiweekly file from County or future uploads from Special Districts).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.019	Member Information Changes	The PAS will provide the capability to maintain a log of any changes submitted via the payroll feed and generate a bi-weekly report that highlights changes by category (Name Changes, Address changes, Status changes, Marital Status changes etc...)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.020	Member Information Changes	<p>The PAS will provide the capability to record and allow for changes to special deductions, specifically:</p> <ul style="list-style-type: none"> <li>• Tax withholdings, including percentage and flat amount withholdings.</li> <li>• Medical insurance premiums</li> <li>• REFCO (Retired Employees of Fresno County)</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement Detail	Priority	Meets Requirement?
		<ul style="list-style-type: none"> <li>Levies</li> <li>Alimony</li> <li>Child Support</li> <li>Other deductions (ADRP and ATTY REPAY)</li> </ul>		
302.021	Member Information Changes	<p>The PAS will provide the capability to record and allow changes to member status via payroll feed or via manual changes by staff, including but not limited to the following status descriptions/codes</p> <ul style="list-style-type: none"> <li>a) Active</li> <li>b) Retired</li> <li>c) Deferred</li> <li>d) Inactive</li> <li>e) Suspense</li> <li>f) Clearinghouse</li> <li>g) Terminated <ul style="list-style-type: none"> <li>Disciplinary</li> <li>Layoff</li> <li>Resignation</li> <li>Retirement</li> </ul> </li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.022	Member Information Changes	The PAS will provide the capability to change and/or add items to list of possible member statuses without the need for a script update.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.023	Member Information Changes	The PAS will provide the capability to generate an exception report for any changes that could not / did not get posted to the system, including details on the error created.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.024	Member Information Changes	The PAS will provide the capability for an interface where staff members can review and research each exception and clear exceptions and post changes where applicable.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.025	Member Information Changes	The PAS will provide the capability to maintain a history of cleared exceptions that can be retrieved via a report for auditing and review.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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302.026	Member Information Changes	<p>The PAS will provide the capability to categorize the information change. Following are some of the actions for employees – please note that other actions might be added in the future:</p> <ul style="list-style-type: none"> <li>• Appointment</li> <li>• Discharge</li> <li>• Resignation</li> <li>• Retirement</li> <li>• Other</li> <li>• Disability Retirement</li> <li>• Promotion</li> <li>• Temporary Promotion</li> <li>• Demotion</li> <li>• Transfer</li> <li>• Reorganization / Reclassification</li> <li>• Merit Increase</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.027	Member Information Changes	The PAS will provide the capability to store multiple phone numbers, e.g. Home, Cell and Alternate as well as a fax number.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.028	Member Information Changes	The PAS will provide the capability to allow changes to phone numbers via transmittal file or via manual adjustment by staff member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.029	Member Information Changes	The PAS will provide the capability to enter and record the effective date of all member information changes whether the change was performed by a staff member or payroll system ID.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.030	Member Information Changes	The PAS will provide the capability for peer and/or supervisor review as part of the exception clearing procedure for pre-defined exceptions that require second level review.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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302.031	Member Information Changes	The PAS will provide the capability to generate a report showing the type of change performed, the member's ID and name and staff member ID who performed the change, on an "on demand" basis for critical data changes that might require supervisor attention and review, including but not limited to: <ul style="list-style-type: none"> <li>• Changes to final benefit</li> <li>• Changes to financial data and financial institution for members receiving a benefit</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.032	Member Information Changes	The PAS will provide the capability to record and change the following information for a member's dependent: <ul style="list-style-type: none"> <li>• Name (First, Middle, Last, Suffix)</li> <li>• Birth Date</li> <li>• Relationship</li> <li>• SSN (if applicable/existing)</li> <li>• Address</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.033	Member Information Changes	The PAS will provide the capability to store multiple dependent records.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.034	Member Information Changes	The PAS will provide the capability to record and change the following information for all ex-spouse(s) / DRO(s) if applicable (please note that there might be more than one ex-spouse on the member's file): <ul style="list-style-type: none"> <li>• Name (First, Middle, Last, Suffix)</li> <li>• Birth Date</li> <li>• SSN</li> <li>• Member ID</li> <li>• Ex-Spouse / Ex-Domestic Partner is also member at FCERA? Y/N</li> <li>• Date of Marriage</li> <li>• Date of Separation</li> <li>• Address</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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302.035	Member Information Changes	The PAS will provide the capability to store multiple DRO's for a member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.036	Member Information Changes	<p>The PAS will provide the capability to capture and update the marital status:</p> <ul style="list-style-type: none"> <li>• Single</li> <li>• Married</li> <li>• Divorced</li> <li>• Widowed</li> <li>• Legally Separated</li> <li>• Domestic Partnership</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.037	Member Information Changes	<p>The PAS will provide the capability to capture the following if the member is married:</p> <ul style="list-style-type: none"> <li>• Is/Was spouse/domestic partner also a member (Y/N)</li> <li>• Spouse's/Domestic Partner's name</li> <li>• Spouse's/Domestic Partner's SSN or Member ID</li> <li>• Spouse's /Domestic Partner's Employee ID (if applicable)</li> <li>• Spouse's/Domestic Partner DOB</li> <li>• Date of Marriage / Domestic Partnership</li> <li>• Post-retirement marriage (Y/N)?</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.038	Member Information Changes	<p>The PAS will provide the capability to capture and update the following fields for the emergency contact:</p> <ul style="list-style-type: none"> <li>• Name</li> <li>• Relationship</li> <li>• Phone number</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO




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302.039	Member Information Changes	The PAS will provide the capability to accept the payroll transmittal file data for an active member and overwrite any existing data in the system. Any changes applied during the last interface file import must be recorded in a demographic/ member changes report listing changes such as Name, SSN, Status Change, Address change, Phone number change, email changes, etc. for review by the Retirement Coordinator and retained in the member history record.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.040	Member Information Changes	The PAS will provide the capability to automate member information changes as much as possible. Member information is stored at FCERA, County, Special Districts and the Bank.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.041	Member Information Changes	The PAS will provide the capability to track receipt of certain core / required forms, e.g. Marriage / domestic partnership proof, proof of birth, proof of death, name changes forms, etc. both for members as well as for ex-spouses, spouses, dependents and/or beneficiaries.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.042	Member Information Changes	The PAS will provide the capability to track status of mailings; for example, in case a member changed status and to remind Retirement Coordinator for follow-up at pre-defined intervals for disposition forms.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
302.043	Member Information Changes	<p>The PAS will provide the capability for online validations and checklists – the system must have certain validation points – e.g.:</p> <ul style="list-style-type: none"> <li>• Name Change: Prompt users whether they received proper documentation and what type of document they received. If no documentation was received, generate automated form letter to send to member to provide proof and update beneficiary form.</li> <li>• Post-Retirement Spouse: Prompt user to check for marriage certificate and other proof as well as to request a Divorce decree for previous spouse. Potentially generate automated form letter to request divorce decree.</li> <li>• Validation of email addresses / addresses: make sure that address patterns look correct.</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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### A.3 Plan Sponsor Payroll Import Processing (303)


<b>ReqID</b>	<b>Process</b>	<b>Requirement Detail</b>	<b>Priority</b>	<b>Meets Requirements?</b>
303.001	Payroll Import and Processing	<p>The PAS will provide capability to import key data in the active payroll interface file (PSBiweekly &amp; Deductions Register) from County pertaining to member demographics and payroll.</p> <p>The PSBiweekly file is a PeopleSoft file extracted from the Fresno County Human Resources Payroll system. The layout details for this file can be found in the appendix.</p> <p>Deductions Register contains retirement deduction detail for each county active member. The layout details for this file can be found in the appendix</p>	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.002	Payroll Import and Processing	<p>The PAS will provide capability to compare deductions that come through PSBiweekly with Deductions Register before posting to member records and provide exception reports that include but not limited to:</p> <ul style="list-style-type: none"> <li>• Buyback membership do not match the current membership</li> <li>• Buyback payroll contributions do not match</li> <li>• Employee payroll contributions do not match</li> <li>• Member has a contribution balance when not expected</li> <li>• Member has no contribution balance when balance is expected</li> <li>• Member is active, but has no payroll contribution</li> <li>• Employment status change</li> <li>• Employee class change</li> <li>• Part time hours change</li> <li>• Members close to 30 years</li> <li>• Service buy back completed</li> <li>• Employee membership change</li> <li>• Employee name change</li> <li>• Contribution adjustments</li> <li>• Excess annual leave</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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		<ul style="list-style-type: none"> <li>• Category status change</li> <li>• Employees with unknown amounts</li> <li>• Active and Leave members not on PeopleSoft payroll</li> <li>• Tier II membership inconsistencies</li> <li>• Tier III membership inconsistencies</li> </ul>		
303.003	Payroll Import and Processing	The PAS will provide capability to correct or verify exceptions found in exception reports before posting data from PSBiweekly to member records.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.004	Payroll Import and Processing	The PAS will provide capability to import key data in the active payroll interface and validate data such as earn codes, bargaining units, etc...	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.005	Payroll Import and Processing	The PAS will provide capability to import an electronic data file per pay period from plan sponsors that contains basic member demographic data and critical payroll and contribution data for each member.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.006	Payroll Import and Processing	<p>The PAS will provide capability to validate basic parameters about the transmittal file prior to executing the import. These validations must include, but may not be limited to:</p> <ul style="list-style-type: none"> <li>• Valid Plan Sponsor Identification Code</li> <li>• Valid Pay Period and associated Pay Date</li> <li>• Valid File Layout</li> <li>• Valid File Format</li> <li>• Valid Transmittal Batch Number</li> <li>• Batch Totals</li> <li>• Total Member Count</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.007	Payroll Import and Processing	The PAS will provide capability to process multiple payrolls on different schedules. i.e., weekly, bi-weekly, semi-monthly or monthly.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.008	Payroll Import and Processing	The PAS will provide capability to process and post contributions in accordance with each Plan Sponsor's payroll cycle.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.009	Payroll Import and Processing	The PAS will provide capability to prevent duplicate or otherwise invalid data from posting to member record.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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303.010	Payroll Import and Processing	The PAS will provide capability to import other payroll interface in .txt, .csv and excel file formats.  Multiple Plan Sponsors providing data to the PAS system, thus some flexibility is needed in the PAS system to allow import or entry of the data provided.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.011	Payroll Import and Processing	The PAS will provide capability to validate contributions at the member level.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.012	Payroll Import and Processing	The PAS will provide capability to report, track and allow resolution for all exceptions and validation failures due to data from the interface file(s).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.013	Payroll Import and Processing	The PAS will provide capability to define exceptions as a warning or fatal error.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.014	Payroll Import and Processing	The PAS will provide capability to clearly label each exception or validation failure as either a warning or a fatal error as it happens.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.015	Payroll Import and Processing	The PAS will provide capability to prevent updates to the PAS when fatal errors exist.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.016	Payroll Import and Processing	The PAS will provide capability for staff to review warnings and update the PAS system once it has been approved.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.017	Payroll Import and Processing	The PAS will provide capability to validate and track and correct payroll interface records.  Perform and track complete validation on each record being imported. This validation must ensure that the following elements (among other validated values) are correct or allow any incorrect or incomplete records to be identified, revisited and corrected: <ul style="list-style-type: none"> <li>• Earnings (amount paid to employee)</li> <li>• Hours (hours toward service credit)</li> <li>• Contributions (contributions on the earnings)</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.018	Payroll Import and Processing	The PAS will provide capability to manually update payroll data (hours and/or earnings) with proper security/authorization.  Incorrect earnings or hours associated with multiple pay periods or prior period adjustments may cause problems with Final Average Salary calculations and/or Service Years calculations. .	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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303.019	Payroll Import and Processing	The PAS will provide capability to process interface file records by plan.  FCERA collects data for non participants for processing future service credit purchases. However, Employees who are not members of FCERA except Extra Help must be ignored.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.020	Payroll Import and Processing	The PAS will provide capability to accept contributions for members with reduced hours and report variances between calculated amount and received amount.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.021	Payroll Import and Processing	The PAS will provide capability to create an alert for contributions received from part-time employees.  Contributions would be expected for someone with FCERA membership and requires a permanent position with at least 50% of fulltime hours.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.022	Payroll Import and Processing	The PAS will provide capability to add new members from the interface files.  FCERA requires an enrollment card to establish membership.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.023	Payroll Import and Processing	The PAS will provide capability to produce detailed reports for reconciliation of individual transmittal batches by tier and contribution type.  These reports will contain all critical member-specific data, including but not limited to: <ul style="list-style-type: none"> <li>• Employee Name</li> <li>• Employee Number</li> <li>• Department</li> <li>• Section</li> <li>• Job Class</li> <li>• Member Status</li> <li>• Hours</li> <li>• Rate High</li> <li>• Rate Low</li> <li>• Pensionable Salary</li> <li>• Contribution Amount</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.024	Payroll Import and Processing	The PAS will provide capability to produce variance reports for each transmittal batch.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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		<p>The variance percentage or dollar amount must be user defined. It will list all members who have a variance as selected by the user of a percentage or dollar amount (higher or lower) from the previous pay period transmittal in one or more critical data element, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Pensionable Salary</li> <li>• Earnable Salary</li> <li>• Contribution Amount</li> <li>• Hours worked</li> </ul>		
303.025	Payroll Import and Processing	<p>The PAS will provide capability for detailed reporting on those records that have not passed validation and have been written to the exceptions table.</p> <p>The following information must be reported:</p> <ul style="list-style-type: none"> <li>• Plan Sponsor</li> <li>• Pay Period / Transmittal Number</li> <li>• Name</li> <li>• Employee or other ID Number</li> <li>• Validation Rule Violation Description</li> <li>• Contribution Imbalance Amount (if applicable)</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.026	Payroll Import and Processing	The PAS will provide capability to display all transmittal exceptions on a user interface screen.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.027	Payroll Import and Processing	The PAS will provide capability for the user to select an exception and post it to the member record once corrective action has been taken.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.028	Payroll Import and Processing	<p>The PAS will provide capability to provide for each individual member, on a single member information screen, the following at a minimum:</p> <ul style="list-style-type: none"> <li>• Employee ID Number</li> <li>• Current Plan</li> <li>• Current Employer</li> <li>• Date of Birth</li> <li>• Present Age</li> <li>• Entry Date</li> <li>• Adjusted Entry Date</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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		<ul style="list-style-type: none"> <li>• Age at Entry</li> <li>• Current Balance</li> <li>• Member Status</li> <li>• Separation or Termination Date</li> <li>• Bargaining Unit</li> <li>• Job Class</li> </ul>		
303.029	Payroll Import and Processing	<p>The PAS will provide capability to provide for each individual member, on a single member contribution screen, individual posted records for each contribution type reported per pay period.</p> <p>These records must include:</p> <ul style="list-style-type: none"> <li>• Contribution Type</li> <li>• Record Type</li> <li>• Amount</li> <li>• Pay Period From Date</li> <li>• Pay Period To Date</li> <li>• Pay Date</li> <li>• Record Status [Posted, Adjusted, Cancelled]</li> <li>• Status Date</li> <li>• Contribution Amount</li> <li>• Pre-Tax and Post-Tax Amounts</li> <li>• Transmittal Batch Number</li> <li>• Record Method [Batch or Manual]</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.030	Payroll Import and Processing	<p>The PAS will provide capability to track and maintain contribution records of varying types, including but not limited to, the following Record Types:</p> <ul style="list-style-type: none"> <li>• Member Contributions</li> <li>• Adjustments</li> <li>• Service Purchase Payments</li> <li>• Contribution refunds</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.031	Payroll Import and Processing	<p>The PAS will provide capability to automatically import contribution total amount and split the total contribution into the appropriate categories. i.e., Basic Contribution, COLA Contribution, Supplemental COLA and Supplemental</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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		Benefit Contribution, based on the percentage breakdown for each fiscal year. The percentage breakdown must be stored in the system and be effective dated so that the system can maintain a historical view, since these breakdowns will also be needed for buyback calculations.		
303.032	Payroll Import and Processing	<p>The PAS will provide capability to track and maintain contribution record status of varying values, including but not limited to, the following Record Status:</p> <ul style="list-style-type: none"> <li>• Posted</li> <li>• Adjusted</li> <li>• Cancelled</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.033	Payroll Import and Processing	The PAS will provide capability to create and maintain an audit trail that will record any adjustment, cancellation or manual posting of contribution data to a member's record.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.034	Payroll Import and Processing	<p>The PAS will provide capability to record and maintain method of entry for each member contribution record. These methods must be some variation of:</p> <ul style="list-style-type: none"> <li>• Active Payroll File Import</li> <li>• Manual Record Entry</li> </ul> <p>The method of entry value must be automatically populated, based on the origin of the contribution records.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.035	Payroll Import and Processing	<p>The PAS will provide capability to provide a Life to Date contribution screen for each member, displaying on a single screen the following:</p> <p>Life to Date Contributions by Type:</p> <ul style="list-style-type: none"> <li>• Basic contributions, pre-tax</li> <li>• Basic contributions, post-tax</li> <li>• COLA contributions, pre-tax</li> <li>• COLA contributions, post-tax</li> <li>• Supplemental Benefit contributions, pre-tax</li> <li>• Supplemental Benefit contributions, post-tax</li> <li>• Supplemental Benefit COLA contributions, pre-tax</li> <li>• Supplemental Benefit COLA contributions, post-tax</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO




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		<p>Note: For Supplemental Benefit, there is a special contribution balance for all people that were active/deferred/suspense members at 1/1/01. It is titled “ER contributions” and is in the member section but does not belong to the member. It is never refunded to the member nor reported to the member. At termination or retirement, the \$1 is transferred to the employers’ current service account.</p> <p>Following information must also be totaled for each member:</p> <ul style="list-style-type: none"> <li>• Total Contributions</li> <li>• Total Interest Posted</li> <li>• Combined Total Contributions and Interest</li> </ul>		
303.036	Payroll Import and Processing	The PAS will provide capability to segregate contributions by Service Purchase Contract contributions and “regular” contributions.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.037	Payroll Import and Processing	The PAS will provide capability to import member data on those members that are currently on leave, even if they do not have pensionable salary or hours to report for those periods of leave.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.038	Payroll Import and Processing	<p>The PAS will provide capability to provide a summary report on any contribution transmittal file, including, but not limited to, the following information:</p> <ul style="list-style-type: none"> <li>• Batch Number</li> <li>• Pay Period Begin Date</li> <li>• Pay Period End Date</li> <li>• Pay Date</li> <li>• Total Contribution Amount</li> <li>• Number of Members Reported</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.039	Payroll Import and Processing	<p>The PAS will provide capability to an authorized user to reverse, or roll back the transmittal import process if the transmittal file is discovered to be invalid.</p> <p>No residual records or data of any sort should remain with regard to g/l, member or employer records such as contribution, service, hours, etc... In other words, the records should reverse so that they are not posted.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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303.040	Payroll Import and Processing	The PAS will provide capability to audit or track rollback or reversal of transmittal file.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.041	Payroll Import and Processing	The PAS will provide capability to calculate anticipated contributions, based on each member's transmitted payroll data.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.042	Payroll Import and Processing	The PAS will provide capability to compare the anticipated contribution Amount to the actual contribution amount transmitted.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.043	Payroll Import and Processing	The PAS will provide capability to report on contributions or adjustments received for someone who has a member status other than Active.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.044	Payroll Import and Processing	The PAS will provide capability to identify and report on active members with 30 years or more of service, but for whom contributions have been received.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.045	Payroll Import and Processing	The PAS will provide capability to accept salary and service credit for active members with 30 years or more of service, but for whom contributions have stopped.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.046	Payroll Import and Processing	<p>The PAS will provide capability to identify and create a new member record if contributions exist in a transmittal file for a member with a status of Active, but for whom no matching member record exists in the system. Matching criteria should consist of, but not be limited to:</p> <ul style="list-style-type: none"> <li>• Name</li> <li>• SSN</li> <li>• Employee ID</li> <li>• Date of Birth</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.047	Payroll Import and Processing	The PAS will provide capability to report on all new member records created through the transmittal import process, by batch.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.048	Payroll Import and Processing	<p>The PAS will provide capability to categorize and report transmittal data exceptions by severity.</p> <p>Those that have been categorized as non-fatal (Warning) will allow data to be posted. Those categorized as fatal error will not post.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.049	Payroll Import and Processing	<p>The PAS will provide capability to allow an authorized user to manually correct transmittal data, providing an audit trail for internal control.</p> <p>This would be limited to salary and contribution amounts only for County</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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		employees. Personal information will be controlled by the import.		
303.050	Payroll Import and Processing	<p>The PAS will provide capability to capture, track and report member record activity that results in a change in total member balance, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Payroll Contributions Postings</li> <li>• Interest Posting</li> <li>• Adjustments</li> <li>• Cancellations</li> <li>• Reserve balance</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.051	Payroll Import and Processing	The PAS will provide capability to store/archive historical transmittal exception errors (messages) for reporting purposes, even after the exception has been “cleared” and “posted” to the member’s record.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.052	Payroll Import and Processing	<p>The PAS will provide capability to produce reports to facilitate the payroll import and validation process.</p> <p>Number of reports is used for reviewing and reconciling the payroll interface process. The PAS must have the ability to reproduce these reports.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
303.053	Payroll Import and Processing	The PAS will provide capability to import data file live in production, without affecting the user’s ability to access the system.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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#### A.4 Service Credit Purchase (304)


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304.001	Purchase of Service Credit	The PAS will provide the capability to generate a purchase of service credit worksheet and service contract based on the data that exists within the system using the parameters selected by the user.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.002	Purchase of Service Credit	The PAS will provide the capability to override or add previous membership information by an authorized user with appropriate security.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.003	Purchase of Service Credit	<p>The PAS will provide the capability for a member to make payment for service credit purchase by selecting one of the following options:</p> <ul style="list-style-type: none"> <li>• Lump Sum Payment – This payment option is accepted using post-tax dollars but can also be accepted using pre-tax dollars via direct rollover (see third option below). Payments are usually submitted as cash or check.</li> <li>• Payroll Deductions – This payment option must be set up through the member's Plan Sponsor. Payments for this option are accepted using pre-tax dollars.</li> <li>• Direct Rollover – This payment option only accepts pre-tax dollars from tax qualified plans such as a 401(a), 401(k), Keogh, 403(b), 457 as well as Individual Retirement Accounts (IRA). Partial or full lump sum payments can be made via rollover from any one of the tax qualified plans as specified in the FCERA resolution which requires conclusive proof that the IRA does not include any post-tax dollars.</li> <li>• Combination – Member may use any of the options above.</li> </ul>	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.004	Purchase of Service Credit	<p>The PAS will provide the capability to define validation rules for purchase of service credit.</p> <p>In order to reduce the amount of input errors for a purchase of service credit, the new PAS must provide a validation check when the staff is entering the contract details into the system based on certain criteria for various input</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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		<p>fields. For example:</p> <ul style="list-style-type: none"> <li>Length of Purchase of Service Credit cannot exceed the specific leave period being purchased.</li> <li>Amount of payments cannot exceed the number of payments allowed for the selected Purchase of Service Credit.</li> <li>Whenever possible the system must pull any compensation earnable, including additional pensionable pay components, automatically from the PAS. If the data is present, the system must pull actual pay data from the historic PAS data to derive actual contribution data.</li> <li>Table to maintain contribution rates that are applicable during the date of membership. (e.g., Rate 1% or 2%)</li> <li>Entering year and month of date of membership – pull this data and calculate the appropriate interest.</li> </ul>		
304.005	Purchase of Service Credit	The PAS will provide the capability to track service purchase contract payments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.006	Purchase of Service Credit	The PAS will provide the capability to identify service types attributed to a service purchase.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.007	Purchase of Service Credit	The PAS will provide the capability to track and link payments and service with a particular service contract.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.008	Purchase of Service Credit	The PAS will provide the capability to validate that the new service purchase contract number is not identical to one that is already in the system when modifying a contract.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.009	Purchase of Service Credit	The PAS will provide the capability to prompt the user to provide a reason for the service purchase change as a failsafe point to ensure the change is desired.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.010	Purchase of Service Credit	<p>The PAS will provide the capability to apply an interest factor to purchase of service credit.</p> <p>If the member selects a payment plan option via payroll deductions, additional interest based on the interest factor will be added to the purchase amount. This interest factor is a percentage – currently 8% - that accounts for the interest that would have been applied to the accumulated contributions.</p>	1	<input type="checkbox"/> YES <input type="checkbox"/> NO

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		For example, if a member purchases time from 5 years ago then the member would have to pay the base amount plus the accumulated interest over the last 5 year period – i.e. FCERA will factor in 10 interest posting periods. However, if a member now would choose to use payroll deductions / a payment contract to pay off the Purchase of Service Credit over a pre-defined time period in the future, then FCERA would also add an interest factor (currently 8%) to the amount.		
304.011	Purchase of Service Credit	The PAS will provide the capability to adjust the interest factor without the need for programming changes.  The interest factor is currently at 8% but might have to be adjusted in the future.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.012	Purchase of Service Credit	The PAS will provide the capability to define rules for prior County Service (service within Fresno County and Special Districts that was excluded from membership).  All FCERA members shall be permitted to purchase time for eligible extra help/part time, pre-membership, seasonal, or temporary time under dictates of Government Code Section 31641.5. The following rules apply: <ol style="list-style-type: none"> <li>1. Purchase of Service Credit period must be attributable to County time worked while the employee was not eligible for FCERA membership.</li> <li>2. The service time to be purchased must be certified by the applicable employer system where the time was worked.</li> <li>3. Member must pay the contributions that would have been made to the retirement fund for the length of time being purchased, based on the contribution rate and salary at the original date of membership for that service period in FCERA, plus the interest that would have accrued on those contributions since the date of membership.</li> <li>4. The entry date to the system will not be altered – it remains the date that membership began, even if prior service time is purchased.</li> </ol>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.013	Purchase of Service Credit	The PAS will provide the capability to track periods of eligibility for FCERA membership.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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304.014	Purchase of Service Credit	The PAS will provide the capability to define the calculation rules for all aspects of service purchase.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.015	Purchase of Service Credit	The PAS will provide the capability to maintain member's original entry date regardless of prior service purchases.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.016	Purchase of Service Credit	<p>The PAS will provide the capability define rules for redeposit.</p> <p>Active and Deferred members shall be allowed to redeposit previously withdrawn contributions pursuant to the dictates of Government Code Section 31652. The following rules apply:</p> <ul style="list-style-type: none"> <li>• The repayment term may not exceed the length of the period of service being purchased unless approved by the Retirement Administrator. For example, if an active member is purchasing three years service credit, that member will have the option of choosing payroll deductions over three years.</li> <li>• Except for Safety members (currently safety in the reciprocal system or were safety while with FCERA), member must return to work in order to redeposit unless the contributions were withdrawn prior to 1971, then redeposit can be made without returning to work.</li> <li>• Member must redeposit all previously withdrawn funds.</li> <li>• There is <b>no</b> posting of pro-rata service for redeposit payments, if total payment is not completed for any reason, any partial payment will be refunded.</li> <li>• If terminating prior to the completion of a payment plan for a redeposit, the full amount paid will be refunded and no service credit issued. If the member elects to defer and leave funds on deposit, he or she may make a lump sum payment for the balance due.</li> <li>• Member must pay all of the previously withdrawn retirement contributions plus the interest that would have accrued on those contributions had they remained on deposit since the date of withdrawal.</li> <li>• Service credit will be applied to the retirement tier/classification in which it was originally accrued.</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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		<ul style="list-style-type: none"> <li>Anyone who paid contribution between July 1, 2002 and February 13, 2007 and refunded prior to January 1, 2008 will have the redeposit amount reduced due to UAAL project (overpaid contributions refunded).</li> </ul>		
304.017	Purchase of Service Credit	<p>The PAS will provide the capability to allow flexible repayment terms.</p> <p>The repayment term for most payment plans may not exceed the length of the period of service being purchased unless approved for a longer length of time by the Retirement Administrator.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.018	Purchase of Service Credit	The PAS will provide the capability to track contribution withdrawals.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.019	Purchase of Service Credit	The PAS will provide the capability to post a redeposit only when fully paid.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.020	Purchase of Service Credit	The PAS will provide the capability to refund partial payments of a redeposit.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.021	Purchase of Service Credit	The PAS will provide the capability for the member to make a lump sum payment.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.022	Purchase of Service Credit	The PAS will provide the capability to calculate accrued interest for a redeposit.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.023	Purchase of Service Credit	The PAS will provide the capability to apply service credit for a redeposit to the original tier/classification the service was accrued on.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.024	Purchase of Service Credit	The PAS will provide the capability to recalculate contributions made under the current plan to the old plan and generate a refund or service purchase.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.025	Purchase of Service Credit	The PAS will provide the capability to track members who took out contributions between July 1, 2002 and February 13, 2007 and refunded prior to January 1, 2008.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.026	Purchase of Service Credit	The PAS will provide the capability to reduce a redeposit amount by the refund, due to overpaid contributions previously refunded.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.027	Purchase of Service Credit	The PAS will provide the capability to restrict redeposit amounts to service previously withdrawn.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.028	Purchase of Service Credit	<p>The PAS will provide the capability to define rules for purchase of medical leave/FMLA.</p> <ul style="list-style-type: none"> <li>Leave must be an approved medical leave or FMLA absence.</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO




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		<ul style="list-style-type: none"> <li>May purchase only up to twelve months of service per leave period.</li> <li>Must have been an active member in the FCERA system during the leave of absence and must return to work to be eligible to purchase the service time.</li> <li>The number of payments allowed may equal but not exceed the total service time being purchased – i.e. if the member executes a Purchase of Service Credit for a leave period of 12 months, then the payroll deductions may also not exceed more than 26 pay periods for a biweekly pay cycle or 24 pay periods for a semi-monthly pay cycle or 12 pay periods for a monthly pay cycle.</li> <li>Medical leave of absence must be appropriately identified on the history card maintained by the plan sponsor.</li> <li>Member must pay the contributions that would have been made to the retirement fund plus the interest that would have been accrued on those contributions from the date of the leave until payment is completed.</li> <li>If the member is granted a salary increase during the leave period being purchased, the cost of the amount purchased is increased appropriately from the effective date of the increase.</li> </ul>		
304.029	Purchase of Service Credit	The PAS will provide the capability to track leave incidents including dates and reasons for leaves.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.030	Purchase of Service Credit	The PAS will provide the capability to associate a purchase contract to a leave incident.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.031	Purchase of Service Credit	The PAS will provide the capability to restrict purchase of medical leave to members in active status during the leave.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.032	Purchase of Service Credit	The PAS will provide the capability to restrict purchase of medical leave to members that return to service after the leave.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.033	Purchase of Service Credit	The PAS will provide the capability to restrict payment period for purchases of medical leave/FMLA to the length of the leave only up to twelve months of service per leave period. An authorized user must be able to override the default payment period.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.034	Purchase of Service Credit	The PAS will provide the capability to track and record medical leaves of absence including begin and end dates associated with the incident.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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304.035	Purchase of Service Credit	The PAS will provide the capability to track multiple medical leave/FMLA absences.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.036	Purchase of Service Credit	The PAS will provide the capability to calculate contributions based on the member's contribution rate in effect during the leave.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.037	Purchase of Service Credit	The PAS will provide the capability to calculate accrued interest for contributions for a purchase of medical leave/FMLA from the date of the leave until payment is completed.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.038	Purchase of Service Credit	The PAS will provide the capability to apply salary increases to the calculation of contributions for a purchase of medical leave /FMLA from the effective date of the increase.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.039	Purchase of Service Credit	<p>The PAS will provide the capability to define rules for public service.</p> <ul style="list-style-type: none"> <li>Service with specific public agencies may be purchased as FCERA service time. Public agency is defined as: <ol style="list-style-type: none"> <li>1) A Federal Agency is any department or agency of the United States government, including active military service. Need DD214 form and number of points, depending on type of military service.</li> <li>2) Any department or agency of the State of California, including school districts (PERS/STRS).</li> <li>3) Any city or county within California that has reciprocal agreement with PERS</li> </ol> </li> <li>Prior public service can only be purchased while an active member.</li> <li>The member cannot be eligible to receive a retirement benefit from the other entity for the service period being purchased.</li> <li>The member must not have re-deposited or purchased service credit with any other public agency for the service period being purchased.</li> <li>The purchase must be an equivalency of time; therefore some conversion to a monthly or bi-weekly basis may be necessary.</li> <li>The member must pay the employee contribution at membership (based on the contribution rate and salary at the current date of membership) times two plus all applicable interest from the date of membership through the calculation date.</li> <li>Service credit will be applied to the retirement tier in which the</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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		<p>member was placed at the time of current membership in FCERA.</p> <ul style="list-style-type: none"> <li>• Payment plans for public service purchases are capped at five years.</li> <li>• Service credit purchases are capped at four years for Plan Sponsors except for FMAAA who can purchase up to the time available for purchase.</li> <li>• Time purchased does not count towards eligibility for benefits, for example, the minimum of ten years of service needed to retire, non-service connected disability, death benefit, health insurance, or vesting.</li> <li>• Calculation is based on age, most recent date of membership, salary at date of membership and benefit tier and classification.</li> </ul>		
304.040	Purchase of Service Credit	The PAS will provide the capability to track member's status as prior public service leave.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.041	Purchase of Service Credit	The PAS will provide the capability generate warning to staff if member would not be eligible to purchase service credit. For example when calculating time for educational LOA.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.042	Purchase of Service Credit	The PAS will provide the capability to define eligible service agencies in the system.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.043	Purchase of Service Credit	The PAS will provide the capability to generate a report to ensure that service purchase amounts can be double-checked and recovered if necessary.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.044	Purchase of Service Credit	The PAS will provide the capability to generate a report showing all open Military Leaves.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.045	Purchase of Service Credit	The PAS will provide the capability to record a member's service at eligible agencies.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.046	Purchase of Service Credit	The PAS will provide the capability to record whether a member is receiving benefits from another agency.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.047	Purchase of Service Credit	The PAS will provide the capability to create and edit a letter to the reciprocal agency if a member is receiving benefits from another agency.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.048	Purchase of Service Credit	The PAS will provide the capability to record whether a member is eligible to redeposit or purchase time with any other public/reciprocal agency.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.049	Purchase of Service Credit	The PAS will provide the capability to convert service from eligible agencies to monthly or bi-weekly basis.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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304.050	Purchase of Service Credit	The PAS will provide the capability to calculate contributions times two, for purchase of public service, as the contribution rate and compensation at the original date of membership.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.051	Purchase of Service Credit	The PAS will provide the capability to calculate interest for purchase of public service.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.052	Purchase of Service Credit	The PAS will provide the capability to apply service credit for purchase of public service to the member's retirement tier at the time of entry into membership at FCERA.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.053	Purchase of Service Credit	The PAS will provide the capability to purchase military leave of absences during active periods of membership.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.054	Purchase of Service Credit	The PAS will provide the capability to exclude public service purchases from benefit eligibility calculations.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.055	Purchase of Service Credit	The PAS will provide the capability to post final amounts and service credit in case of an early pay-off for post-tax purchases.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.056	Purchase of Service Credit	The PAS will provide the capability to accommodate for installment payments on service credit purchases.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.057	Purchase of Service Credit	The PAS will provide the capability to define payment plans.  This includes the payment amounts, number of payments, interest factor and projected interest for any semi-annual interest posting periods.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.058	Purchase of Service Credit	The PAS will provide the capability to create amortization schedules if payroll deduction is selected.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.059	Purchase of Service Credit	The PAS will provide the capability to suspend service purchase payments.  If a member takes an approved leave without pay, purchase of service payments (pre-tax or post-tax) will be placed on hold automatically until the member returns to work and is once again on payroll.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.060	Purchase of Service Credit	The PAS will provide the capability to generate a warning and a report if member returns from a leave, to let staff know that there are outstanding payroll deductions.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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304.061	Purchase of Service Credit	<p>The PAS will provide the capability to restrict revocation of pre-tax service purchase payment plans.</p> <p>Pre-tax payment plans are irrevocable and cannot be changed or pre-paid, except in the event of termination, retirement, or death.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.062	Purchase of Service Credit	<p>The PAS will provide the capability to purchase service incrementally except for redeposits.</p> <ul style="list-style-type: none"> <li>The member must buy back the most recent time or latest in time as required by law for prior service (service excluded from membership), i.e. extra help time.</li> <li>Redeposits cannot be purchased incrementally, and must be made on a single contract (i.e. you can buy partial credit for other contracts and continue to do so, re-deposit can only be done as one contract).</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.063	Purchase of Service Credit	The PAS will provide the capability for deferred members to make lump sum service purchase payments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.064	Purchase of Service Credit	The PAS will provide the capability for multiple service purchase payment plans via payroll deductions.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.065	Purchase of Service Credit	<p>The PAS will provide the capability to record and maintain records of service purchase agreements in the member record, including, but not limited to the following information:</p> <ul style="list-style-type: none"> <li>Service purchase government code section</li> <li>Number sequence for the purchase (if there's more than one and the order in which the member must purchase)</li> <li>Service purchase type</li> <li>Tier / Plan for service purchase</li> <li>Staff Id of the person who processed the respective service purchase</li> <li>Service Period purchased</li> <li>Effective date</li> <li>Status [Active, Paid, Cancelled]</li> <li>Status date</li> <li>Payment option (lump sum/installments/pretax/post tax)</li> <li>Total Service / Purchased</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement Detail	Priority	Meets Requirement?
		<ul style="list-style-type: none"> <li>Total contributions due</li> <li>Contributions to date (broken down into Regular / COLA/settlement/settlement COLA)</li> <li>Total interest due by contribution type</li> <li>Total purchase cost</li> <li>Total payment received pre-tax</li> <li>Total payment received post-tax</li> <li>Balance due</li> <li>Balance due effective date</li> </ul>		
304.066	Purchase of Service Credit	The PAS will provide the capability to maintain eligibility parameters and business rules for calculating each type of service purchase without the need for programming changes.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.067	Purchase of Service Credit	The PAS will provide the capability to determine a member's eligibility to purchase service time by comparing the member's record against the eligibility parameters for the type of service purchase selected.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.068	Purchase of Service Credit	The PAS will provide the capability to record and maintain a table of retrospective and prospective interest factors to be used in the calculation of service purchase costs.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.069	Purchase of Service Credit	The PAS will provide the capability to record and maintain history of payment plan details and interest rate.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.070	Purchase of Service Credit	<p>The PAS will provide the capability to base service calculations on the service time equivalency selected by the user.</p> <p>Options to include, but not be limited to:</p> <ul style="list-style-type: none"> <li>Hours</li> <li>Months to five decimals</li> <li>Years to five decimals</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.071	Purchase of Service Credit	The PAS will provide the capability to accurately calculate a purchase of service that includes time split between multiple plans, contribution rates and service time.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.072	Purchase of Service Credit	The PAS will provide the capability to credit full service amount purchased at the end of the contract, without rounding issues resulting in fractional differences as payment is made.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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304.073	Purchase of Service Credit	The PAS will provide the capability to post service purchase payments that are transmitted with payroll contributions by the plan sponsors for the applicable payroll period.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.074	Purchase of Service Credit	The PAS will provide the capability to manually post service purchase payments to member records.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.075	Purchase of Service Credit	The PAS will provide the capability to record the payment option selected by the member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.076	Purchase of Service Credit	The PAS will provide the capability to track the tax status (pre-tax or post-tax) of all service purchase payments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.077	Purchase of Service Credit	The PAS will provide the capability to generate reimbursement of overpayment on a service purchase contract, or in the event of cancellation of a service purchase contract and amount of service purchased if applicable.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.078	Purchase of Service Credit	The PAS will provide the capability to calculate early payoff of a post-tax service purchase contract, by adjusting the interest factor and recalculating the amount due.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.079	Purchase of Service Credit	The PAS will provide the capability to recalculate an existing payment contract with new parameters.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.080	Purchase of Service Credit	The PAS will provide the capability to overwrite payment amounts, or the number of payment installments on service purchase worksheets.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.081	Purchase of Service Credit	The PAS will provide the capability to maintain and credit multiple service purchase contracts concurrently.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.082	Purchase of Service Credit	<p>The PAS will provide the capability to view and print service purchase reports, including:</p> <ul style="list-style-type: none"> <li>Detailed report for an individual member.</li> <li>Detailed report of all Active (outstanding) service purchase agreements.</li> <li>Detailed report of members with a remaining balance due after the allowable number of payments that have been posted.</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.083	Purchase of Service Credit	The PAS will provide the capability to credit all service purchase payments to the member, if the member retires or terminates prior to completing the purchase of service credit.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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304.084	Purchase of Service Credit	The PAS will provide the capability for the member to keep what is paid for if the member retires or terminates prior to completing the purchase of service credit, and pay off the rest of the contract in lump sum payments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.085	Purchase of Service Credit	The PAS will provide the capability for beneficiaries to pay off service purchases.  In the event of an active member's death, the beneficiary is given the opportunity to pay off any service purchase agreements active at the time of death if the beneficiary is eligible to receive a continuing benefit.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.086	Purchase of Service Credit	The PAS will provide the capability to cancel post-tax payment plans for non-Redeposit service purchases.  At termination of employment the member has the following options related to outstanding balances on installment purchases: <ul style="list-style-type: none"> <li>• Payment and service time is amortized and member receives credit up until that point.</li> <li>• Pay off any remaining time not purchased in a lump sum (payoff amount must be calculated to remove interest factor).</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.087	Purchase of Service Credit	The PAS will provide the capability to define rules for purchase of missed contributions due to a payroll error. <ul style="list-style-type: none"> <li>• A Purchase of Service Credit contract may come into effect when there is retirement eligible service time worked for which contributions were not deducted. The reason for the "missed contribution" is most likely due to system/plan sponsor error.</li> <li>• As contributions are required on all retirement eligible service time, this type of Service Credit is calculated and payment is mandatory.</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.088	Purchase of Service Credit	The PAS will provide the capability to refer to refund history in a member's record in order to compute the amount of service time available, and the associated cost of a redeposit purchase.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.089	Purchase of Service Credit	The PAS will provide the capability to compute member's future retirement benefit attributable to the time purchased, and to display the result on screen, and on a service purchase worksheet.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO




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304.090	Purchase of Service Credit	The PAS will provide the capability for the service purchase calculator to issue a service purchase worksheet. The worksheet will display all critical calculations and payment plan amounts.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.091	Purchase of Service Credit	The PAS will provide the capability to overwrite payment amounts, or the number of payment installments on service purchase worksheets.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.092	Purchase of Service Credit	The PAS will provide the capability to manually post service time to member records.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.093	Purchase of Service Credit	The PAS will provide the capability to record and maintain financial institution data if the member selects rollover or transfer as the payment option.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.094	Purchase of Service Credit	The PAS will provide the capability to maintain a history of all service purchase occurrences in a members' record.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.095	Purchase of Service Credit	The PAS will provide the capability to issue a service purchase contract, specific to individual and type of purchase, based on the results generated in a service purchase worksheet.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.096	Purchase of Service Credit	The PAS will provide the capability to adjust an existing service contract in the event that the original set-up terms were entered incorrectly.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.097	Purchase of Service Credit	The PAS will provide the capability to generate a service contract and letter to the member detailing options for purchase of service including but not limited to: <ul style="list-style-type: none"> <li>• Plan/tier</li> <li>• Length of service purchased</li> <li>• Dates of service purchased</li> <li>• Options to pay</li> <li>• Total cost for each option</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.098	Purchase of Service Credit	The PAS will provide the capability to edit the service contract and letter to member prior to sending to member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.099	Purchase of Service Credit	The PAS will provide the capability to generate a denial letter if the member is not eligible to make the requested purchase of service.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.100	Purchase of Service Credit	The PAS will provide the capability to edit the denial letter prior to sending to member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.101	Purchase of Service Credit	The PAS will provide the capability to provide a service purchase calculator that will compute a service purchase estimate, based on the member record	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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		<p>and specific data entered by the user.</p> <p>If purchase type is Public Service, the formula is:</p> <p><b>Most recent system entry date monthly compensation x contribution rates applicable at that date of membership x service to be purchased x 2 + interest from that date of membership = total cost of public service</b></p>		
304.102	Purchase of Service Credit	<p>The PAS will provide the capability to provide the user with a service purchase calculator that will compute a service purchase estimate, based on the member record and specific data entered by the user.</p> <p>If purchase type is prior service, formula is:</p> <p><b>Contributions (regular, COL, supplemental basic, supplemental COL and interest refunded) + Interest from the date of withdrawal</b></p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.103	Purchase of Service Credit	The PAS will provide the capability to calculate interest on prior service and public service from the entry point into the system immediately succeeding the prior service, to the interest period closest to the point of the Purchase of Service Credit. If there is a redeposit to be purchased, the calculation will use the age and membership data associated with the refunded period.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.104	Purchase of Service Credit	The PAS will provide the capability to calculate interest on redeposit from the point of original refund until the interest period in which the redeposit is calculated.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.105	Purchase of Service Credit	The PAS will provide the capability to calculate interest on medical and active military leaves of absences without pay is calculated from the closest 1/1 or 7/1 date following the leave of absence period to the current interest apportionment period at time of calculation (6/30 or 12/31).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
304.106	Purchase of Service Credit	The PAS will provide the capability to track and alert staff if request for prior public service is not within 90 days of current membership.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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## A.5 Reciprocity Processing (305)


ReqID	Process	Requirement details	Priority	Meets Requirement?
305.001	Reciprocity Processing	<p>The PAS will provide the capability to establish eligibility for reciprocity if membership in the reciprocal system occurred within 6 months after leaving service with the other reciprocal agency or within 90 days if date of termination with reciprocal agency and entry into new agency was prior to 1976.</p> <p>The dates used to determine if the membership occurred within 6 months/90 days is the termination date of the previous employer and the membership date in the new retirement system.</p>	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.002	Reciprocity Processing	The PAS will provide the capability for establishing reciprocity anytime as long as the 6 months/90 day rule applies.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.003	Reciprocity Processing	The PAS will provide the capability to calculate exact days of overlap in service between reciprocal systems.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.004	Reciprocity Processing	The PAS will provide the capability to calculate the exact days of gaps in Service between FCERA and the reciprocal system.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.005	Reciprocity Processing	<p>The PAS will provide the capability to manually override data.</p> <p>Regardless of the rules that are built into the system to validate reciprocity, manual override in cases where an exception needs to be made with a supervisor /management authorization.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.006	Reciprocity Processing	<p>The PAS will provide the capability for manual overrides for reciprocity eligibility by an authorized user.</p> <p>i.e., even though 6 months may have passed, there may be special circumstance where reciprocity would still be granted and FCERA needs to have the ability to allow reciprocity.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
305.006	Reciprocity Processing	The PAS will provide the capability to change status of an established incoming reciprocity for a member as ineligible in case the member took a refund from the reciprocal system or if the member is receiving benefit from the reciprocal system. The system must then also allow changes to contribution rates and any other applicable data and calculations.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.007	Reciprocity Processing	The PAS will provide the capability to change the member's status to one that reflects a deferred reciprocal status.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.008	Reciprocity Processing	<p>The PAS will provide the capability to alert a staff member in case they are trying to refund contributions if a member has established outgoing reciprocity.</p> <p>The general rule is that a member can only receive a refund of contributions in a previous system if they have taken a refund with the current system for which they have established outgoing reciprocity, i.e. a member must take refunds in the order they established reciprocity (from the current system backward). Therefore, FCERA can only process a refund of contributions if the outgoing reciprocity member has already received a refund at the current system.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.009	Reciprocity Processing	The PAS will provide the capability to change the status of an established outgoing reciprocity for a member as ineligible in case the member takes a refund from FCERA.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.010	Reciprocity Processing	The PAS will provide the capability to include reciprocal service in the determination of 30-year membership for all eligible members.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.011	Reciprocity Processing	The PAS will provide the capability to capture and store multiple reciprocity records for a member, including reciprocal system name and total reciprocal service time.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.012	Reciprocity Processing	The PAS will provide the capability to store date ranges for service for reciprocal memberships.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.013	Reciprocity Processing	<p>The PAS will provide the capability to include eligible reciprocal service in calculation of total service credit to determine if a member is <b>eligible for retirement</b>.</p> <p>Please note that reciprocal service <b>is not</b> included for the actual calculation of the benefit. The only exception to this rule is the calculation of a benefit for a disability case: In this case, FCERA needs to be able to include all service credit from all systems to determine what the benefit would have been if all service would have been in one agency or one system.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.014	Reciprocity Processing	The PAS will provide the capability to record reciprocal information about a member, including but not limited to:	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
		1) Name of Reciprocal Agency 2) Contact at Reciprocal Agency 3) Termination Date of Reciprocal Agency 4) Membership Date of Reciprocal Agency 5) Years of Service with Reciprocal Agency (YRS / MOS) 6) Entry Age in Reciprocal Agency 7) Adjustment of Entry Age eligible? Y/N 8) Purchased Service Prior to Membership with Reciprocal Agency (YRS / NOS and Type) 9) Total days between termination date at reciprocal agency and entry date at FCERA 10) Termination date of previous agency and entry date at FCERA falls within allotted timeframe of 6 months. (90 days if prior to 1976) Y/N? 11) Days of overlap between Reciprocal Agency and FCERA (only applicable if 9. Above was <= 0 days) 12) Overlap of Service between Reciprocal Agency and FCERA falls within acceptable timeframe of 0 days? Y/N 13) Eligible for Reciprocity? Y/N 14) Reason for ineligibility		
305.015	Reciprocity Processing	The PAS will provide the capability to capture information on Outgoing Reciprocity. Data to be captured must include but not limited to the following information:  1) Reciprocal Agency for outgoing reciprocity 2) Termination Date at FCERA 3) Date of Membership at Reciprocal Agency 4) Eligible for Outgoing Reciprocity (Y/N) 5) Reason for ineligibility (if “N” selected for item 4.)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.016	Reciprocity Processing	The PAS will provide the capability to re-calculate a different contribution rate based on an updated entry age.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.017	Reciprocity Processing	The PAS will provide the capability to calculate the difference between the original contributions and the new contributions for changes in the contribution basis rate due to age changes or due to other factor such as a Tier conversion.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.018	Reciprocity Processing	The PAS will provide the capability to identify the final amount of over- or underpayment of contributions and interest to be posted against the member’s records and must allow for a manual adjustment and refund based on this amount if necessary.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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305.019	Reciprocity Processing	The PAS will provide the capability to track outgoing reciprocity.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.020	Reciprocity Processing	The PAS will provide the capability to input the date the correspondence to other retirement systems was sent out.  It is sometimes necessary to send multiple follow-up requests to reciprocal agencies before the needed documentation is received.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.021	Reciprocity Processing	The PAS will provide the capability to process and generate a lump sum refund in case of an overpayment of contributions due to a change in the contribution rate.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.022	Reciprocity Processing	The PAS will provide the capability to display the results of the refund calculations on screen and in a refund worksheet, along with other data elements associated with the reciprocal service.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.023	Reciprocity Processing	The PAS will provide the capability to flag active member as an Intersystem Member if applicable.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.024	Reciprocity Processing	The PAS will provide the capability for drop-down list of agencies that FCERA has a reciprocal agreement with or have been set up as a reciprocal system through an existing member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.025	Reciprocity Processing	The PAS will provide the capability to modify the list of reciprocal agencies by an administrator or supervisor without the need for programming updates.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.026	Reciprocity Processing	The PAS will provide the capability to produce reports on reciprocity – e.g. list of members who have outgoing reciprocity and the respective agencies, list of members who have incoming reciprocity and the corresponding agencies, summary reports with counts, etc.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.027	Reciprocity Processing	The PAS will provide the capability to produce an automated Inter-System Membership Advice (ISMA) form, populated with the member's specific information, for both incoming reciprocity and outgoing reciprocity requests. The system must also provide for the ability to store these in the system and to keep track of the status.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.028	Reciprocity Processing	The PAS will provide the capability to store ISMA in the system and to keep track of the status.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.029	Reciprocity Processing	The PAS will provide the capability to suspend all requests associated with the reciprocity process, including, but not limited to, requests for forms and affidavits from reciprocal agency.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.030	Reciprocity Processing	The PAS will provide the capability to store, display and update reciprocal Salary data in the member record.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
305.031	Reciprocity Processing	The PAS will provide the capability to establish a threshold for a reminder that will then generate an automated notice to staff member to follow-up with the reciprocal agency.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.032	Reciprocity Processing	The PAS will provide the capability to turn off reminder notifications once reciprocity has been established.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.033	Reciprocity Processing	The PAS will provide the capability to automatically generate a reciprocity confirmation letter to member for incoming reciprocity.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.034	Reciprocity Processing	The PAS will provide the capability to automatically generate a reciprocity confirmation letter to member for outgoing reciprocity.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.035	Reciprocity Processing	The PAS will provide the capability to automatically generate a reciprocity denial letter to member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.036	Reciprocity Processing	The PAS will provide the capability for a staff member to edit system generated letters before sending to member. (e.g., reciprocity confirmation letter, denial letter)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.037	Reciprocity Processing	The PAS will provide the capability for status indicator for each reciprocal agency identifying if withdrawal of contributions have been verified with any other outgoing reciprocal agencies.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
305.038	Reciprocity Processing	The PAS will provide the capability to change the member status to inactive or suspense depending on the eligibility service years, during the period when an outgoing member is in the process of establishing reciprocity.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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## A.6 Contribution Adjustments (306)

ReqID	Process	Requirement Detail	Priority	Meets Requirement?
306.001	Contribution / Age Adjustment	<p>The PAS will provide the capability to recalculate employee contribution based on the following changes:</p> <ul style="list-style-type: none"> <li>• Age</li> <li>• Tier</li> <li>• Classification</li> <li>• Salary</li> <li>• Combination of any of the above</li> <li>• Combination of all of the above</li> </ul>	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.002	Contribution / Age Adjustment	<p>The PAS will provide the capability to track the following data to be used in recalculating new contribution amount.</p> <ul style="list-style-type: none"> <li>• Age</li> <li>• Employment dates</li> <li>• Pay periods</li> <li>• Annual interest rate</li> <li>• Basic pay</li> <li>• Basic low rate</li> <li>• Basic high rate</li> <li>• COL low rate</li> <li>• COL high rate</li> <li>• Supplemental Employee low rate</li> <li>• Supplemental Employee high rate</li> <li>• COL supplemental Employee low rate</li> <li>• COL supplemental Employee high rate</li> <li>• Basic contribution</li> <li>• COL contribution</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO




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ReqID	Process	Requirement Detail	Priority	Meets Requirement?
		<ul style="list-style-type: none"> <li>• Supplemental Employee contribution</li> <li>• Supplemental Employee COL contribution</li> <li>• Basic interest</li> <li>• COL interest</li> <li>• Supplemental Employee basic interest</li> <li>• Supplemental Employee COL interest</li> </ul>		
306.003	Contribution /Age Adjustment	The PAS will provide the capability to override data to make manual adjustments with proper security/authorization.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.004	Contribution /Age Adjustment	The PAS will provide the capability to restrict staff's ability to change their own information or record.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.005	Contribution /Age Adjustment	<p>The PAS will provide the capability to identify, track, and report members who joined FCERA prior to 2003 and have discrepancies in age.</p> <p>Prior to 2003, if no birth certificate was provided within 60 days of membership, then the system would use age 49 for Safety members and age 59 for General members, regardless of the actual age of the member.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.006	Contribution /Age Adjustment	The PAS will provide the capability to create a warning if there are any discrepancies in age for any member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.007	Contribution /Age Adjustment	The PAS will provide the capability to create a memo to County to correct the age for a member starting on a specific pay period.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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306.008	Contribution /Age Adjustment	The PAS will provide the capability to create the Contribution Adjustment Worksheet or similar report containing, but not limited to, the following: <ul style="list-style-type: none"> <li>• Calculations for correct age for each age/classification/tier/salary</li> <li>• Calculations for incorrect age for each age/classification/tier/salary</li> <li>• Refund summary</li> <li>• Payment summary</li> <li>• Salary history</li> <li>• Rates</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.009	Contribution /Age Adjustment	The PAS will provide the capability to create a letter to the member informing of the age/contribution changes and the effective date of the new contribution rate.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.010	Contribution /Age Adjustment	The PAS will provide the capability to create a memo to Special Districts notifying of age change to make contribution adjustments in their systems.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.011	Contribution /Age Adjustment	The PAS will provide the capability to recalculate the contribution rates based on the new age.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.012	Contribution /Age Adjustment	The PAS will provide the capability to determine overpayment / underpayment by comparing calculations on new age and old age.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.013	Contribution /Age Adjustment	The PAS will provide the capability to create a letter to the member notifying of overpayment amount and the expected date for refund.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.014	Contribution /Age Adjustment	The PAS will provide the capability to create a letter to the member notifying of underpayment including elections to deposit contributions.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.015	Contribution /Age Adjustment	The PAS will provide the capability for the member to make lump sum payment for post-tax funds for underpayments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.016	Contribution /Age Adjustment	The PAS will provide the capability to track the date of underpayment letter to member to collect funds in 45 days.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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<b>ReqID</b>	<b>Process</b>	<b>Requirement Detail</b>	<b>Priority</b>	<b>Meets Requirement?</b>
306.017	Contribution /Age Adjustment	The PAS will provide the capability to process overpayments for active members through Plan Sponsor.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.018	Contribution /Age Adjustment	The PAS will provide the capability to process overpayments of retired members through Plan Sponsor or Disbursement Bank.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.019	Contribution /Age Adjustment	The PAS will provide the capability for staff to determine check date for overpayments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.020	Contribution /Age Adjustment	The PAS will provide the capability to include social security integration when recalculating contribution amounts.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.021	Contribution /Age Adjustment	The PAS will provide the capability to maintain age-graded tables.  Retirement contribution rates are impacted by the results of the actuarial experience study that FCERA conducts every three years.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.022	Contribution /Age Adjustment	The PAS will provide the capability to use workflows and checklists related to contribution and age adjustments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.023	Contribution /Age Adjustment	The PAS will provide the capability to enter notes for adjustments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.024	Contribution /Age Adjustment	The PAS will provide the capability for peer and/or supervisor review of adjustments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.025	Contribution /Age Adjustment	The PAS will provide the capability to report on contributions/age adjustments in process. i.e., letter to member sent, researching salary history etc.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
306.026	Contribution /Age Adjustment	The PAS will provide the capability to report on all contributions/age adjustments using date range.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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## A.7 Termination (307)


ReqID	Process	Requirement Detail	Priority	Meets Requirement
307.001	Termination	<p>The PAS will provide the capability to process all termination scenarios.</p> <ul style="list-style-type: none"> <li>a. They may terminate their membership and withdraw their contributions and interest</li> <li>b. They may leave their money on deposit with FCERA, and request a deferral (vested or non-vested). Non-vested can be deferred if reciprocity is established.</li> <li>c. They may roll the taxable contributions and interest to a qualified plan and refund taxed contributions.</li> <li>d. They may apply for deferral with reciprocity, subject to the rules associated with out-bound reciprocity.</li> <li>e. They may refund part of the funds directly and roll the remaining funds into a qualified plan</li> <li>f. They may terminate their membership and leave their contributions and interest on deposit until they are eligible to retire.</li> </ul>	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.002	Termination	The PAS will provide the capability to process withdrawals for terminated members.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.003	Termination	<p>The PAS will provide the capability to restrict refunds to employee contributions and interest accrued.</p> <p>Vested and non-vested members who choose to remove their funds (contribution and interest) from FCERA are allowed to take all employee-owned contributions and interest. A refund represents all life-to-date employee contributions and interest accrued for the member. Employer contributions (not including employer pickups) are not subject to refund to the member, nor are they individually refunded or transferred back to the plan sponsor or another reserve account.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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307.004	Termination	<p>The PAS will provide the capability to restrict rollovers of post-tax contributions.</p> <p>Members may roll over their taxable contributions and interest to a qualified plan. Contributions made on a post-tax basis cannot be rolled over.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.005	Termination	<p>The PAS will provide the capability to process rollovers without tax withholding.</p> <p>For those members who elect to take a rollover, the payment is considered tax-deferred and therefore will contain no tax withholding.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.006	Termination	<p>The PAS will provide the capability to process partial rollovers.</p> <p>Members can roll over any portion of their pre-tax contributions. Any portion they do not roll over must be distributed to the member and is subject to withholding rules.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.007	Termination	The PAS will provide the capability to process partial refunds.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.008	Termination	<p>The PAS will provide the capability to maintain member information and interest payments for deferred members.</p> <p>After AB2766 was passed, modifying Section 31629.5 of the 1937 Act, all members, even non-vested members, are allowed to leave their funds on deposit. Those funds continue to receive interest every six months.</p>		<input type="checkbox"/> YES <input type="checkbox"/> NO
307.009	Termination	<p>The PAS will provide the capability to process retirement for vested deferred members.</p> <p>Vested Deferred members (those with 5 or more years of qualifying service) are eligible to retire at any time that they would have qualified for retirement had they remained in County service. Retirement benefit payments do not commence automatically – the deferred member must complete the appropriate forms according to the retirement process. Deferred retirements are also subject to IRC 401(a)(9) mandatory distribution requirements.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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<b>ReqID</b>	<b>Process</b>	<b>Requirement Detail</b>	<b>Priority</b>	<b>Meets Requirement</b>
307.010	Termination	<p>The PAS will provide the capability to process withdrawals for deferred members who have not received retirement benefit payments and that have not established reciprocity.</p> <p>Unless reciprocity has been established, an election for deferral may be cancelled at any time, and contributions plus interest withdrawn. This option may not be exercised once retirement benefit payments begin.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.011	Termination	<p>The PAS will provide the capability to refund vested members contributions and interest to a beneficiary.</p> <p>If a Vested Deferred member dies, the beneficiary is not eligible to receive a survivor benefit. Contributions and interest will be refunded to the beneficiary.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.012	Termination	The PAS will provide the capability to generate individual 1099Rs for each type of withdrawal payment with a unique distribution code. If a distribution code is the same for multiple payments, there should only be one 1099R.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.013	Termination	The PAS will provide the capability to automatically compute the amount of contribution and interest to refund to member based on contribution and interest types.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.014	Termination	The PAS will provide the capability to automatically reduce the member's account balance of contributions, interest and service down to zero when withdrawal payments are all posted in system.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.015	Termination	The PAS will provide the capability to keep the member's account balance of contributions, interest and service down to zero when withdrawal payments are all posted in system should the member decide to redeposit funds in the future.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.016	Termination	The PAS will provide the capability to keep the original payment number and date after the member takes refund.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.017	Termination	The PAS will provide the capability to default to 20% federal tax withholding for withdrawal payments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.018	Termination	The PAS will provide the capability for optional CA state tax withholding (as determined by the member) for withdrawal payments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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ReqID	Process	Requirement Detail	Priority	Meets Requirement
307.019	Termination	The PAS will provide the capability to withhold 0% federal tax and 0% CA state tax for rollover payments.  For those members who elect to take a rollover, the payment is considered tax-deferred and therefore will contain no tax withholding	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.020	Termination	The PAS will provide the capability to override default tax withholding percentages and amounts by staff member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.021	Termination	The PAS will provide the capability to maintain payment history with check numbers for refund and rollover checks.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.022	Termination	The PAS will provide the capability to show paid status of payment in payment history for the member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.024	Termination	The PAS will provide the capability to record and maintain financial institution data if the member selects rollover or partial lump sum payment.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.025	Termination	The PAS will provide the capability to restrict distribution or rollover of fund if FCERA has a DRO or joinder on file.  If FCERA has a joinder on file, the member must provide the distribution of community property from the court that defines the community property entitlement. Otherwise, FCERA staff cannot distribute or rollover the funds.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.026	Termination	The PAS will provide the capability to process withdrawals appropriately for members who have one or more DRO's on file, where multiple payments with multiple payees may be necessary.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.027	Termination	The PAS will provide the capability to alert staff if there is legal-hold (such as in the case of a DRO on file or tax lien) on member's account before issuing a withdrawal or rollover.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.028	Termination	The PAS will provide the capability to prevent refunds to members in extra help status.  Members who are in a status of extra help may not receive a refund. Members must separate from extra help prior to receiving the refund. Once they receive a refund, they may return to extra help.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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ReqID	Process	Requirement Detail	Priority	Meets Requirement
307.029	Termination	The PAS will provide the capability to provide a warning when processing refunds for a member who has applied for disability.  A member who is in the process of applying for a disability may not elect a refund without invalidating the member's application, as it severs his or her membership.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.030	Termination	The PAS will provide the capability to for withdrawals and rollovers to create general ledger financial transactions only upon generation of the withdrawal or rollover payments, not at the time the setup of the withdrawal/rollover is done (i.e., during the running of a termination payroll batch process).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.031	Termination	The PAS will provide the capability to issue partial refunds including splitting out the portions to be refunded into multiple payments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.032	Termination	The PAS will provide the capability to pay combinations of payments (whether they be one to the member and one or more financial institutions for direct rollover) in one transaction or multiple transactions, based on member selection.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.033	Termination	The PAS will provide the capability to make changes to the financial institution after the payment has initially been set up without having to cancel or terminate the actual setup of the payment, even if the payment record has already been generated, so long as the payment has not been posted in the system.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.034	Termination	The PAS will provide the capability to make changes to payee information such as payee address or name without having to void the original payment.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.035	Termination	The PAS will provide the capability to create an alert or warning when address or payee name is altered	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.036	Termination	The PAS will provide the capability to recalculate a withdrawal payment without having to cancel the entire benefit, in case additional contributions came into the system between the initial setup and the time the payment was posted and issued.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.037	Termination	The PAS will provide the capability for a payment to be adjusted or recalculated prior to its posting only if the payment was posted before check is issued and the check is for the adjusted amount.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.038	Termination	The PAS will provide the capability to have separate account id or tier to make multiple payments to a member the same day.  FCERA can submit only one batch per day per type due to bank limitations.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO




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ReqID	Process	Requirement Detail	Priority	Meets Requirement
307.039	Termination	The PAS will provide the capability to create a report similar to Disposition Log including any remarks regarding the termination status and reasons.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.040	Termination	The PAS will provide the capability to create a Contribution History report that shows both biweekly and offcycle contributions.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.041	Termination	The PAS will provide the capability to create termination refunds checklist / procedures as part of workflow for notifications and tasks.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.042	Termination	The PAS will provide the capability to create termination letter to the member providing the contribution dollar amount, interest earned and the number years in the system.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.043	Termination	The PAS will provide the capability to create a system generated payment letter that will go to the financial institution for rollovers, containing selectable demographic information about the member, as well as financial institution information such as its name, address, bank or routing number, and account number.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.044	Termination	The PAS will provide the capability to generate a letter that shows what the withdrawal or rollover amount will be, and compare it to a future monthly benefit if the member were to defer until the first eligible date of retirement, if the member is vested.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.045	Termination	The PAS will provide the capability to put member account into a “prepare for refund” type of status prior to receiving all necessary information for actual processing. This will help to track withdrawals even prior to their setup.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.046	Termination	The PAS will provide the capability to review all “prepare for refund” member accounts in a single screen, and to be able to initiate the withdrawal payment(s) from this screen.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
307.047	Termination	The PAS will provide the capability to change payment from a rollover to a withdrawal check to the member, and vice versa, without having to recalculate, terminate, or cancel the payment record or benefit setup.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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## A.8 Member Correspondence (308)

ReqID	Process	Requirement Detail	Priority	Meets Requirement?
308.001	Member Correspondence	The PAS will provide the capability to support mail merge features to print labels.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.002	Member Correspondence	The PAS will provide the capability to generate mailing lists and labels for mass mailings for selected groups of members (e.g. all retired members, all active members etc.).	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.003	Member Correspondence	The PAS will provide the capability to generate and combine addresses from different sources (County PSBiweekly, PAS, monthly Bank import).	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.004	Member Correspondence	The PAS will provide capability to keep consistency for abbreviations. (e.g., apartment, space etc).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.005	Member Correspondence	The PAS will provide the capability to prepare data files in txt, excel, or other data formats for third party vendors to print labels.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.006	Member Correspondence	The PAS will provide the capability to create newsletters in multiple format and content to address the needs of different type of members.	3	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.007	Member Correspondence	The PAS will provide the capability to store templates and form letters.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.008	Member Correspondence	The PAS will provide the capability to allow staff members to create letters / correspondence based on stored templates accessed from the member's record.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.009	Member Correspondence	The PAS will provide the capability to have pre-defined form fields populated automatically with respective member's data (e.g. name, address) when creating letters / correspondence based on stored templates.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.010	Member Correspondence	The PAS will provide the capability to generate letters / correspondence for a given member or a population of members	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.011	Member Correspondence	The PAS will provide the capability to automatically generate letters triggered by a specific event. (e.g. retirement, enrollment, seminar enrollment, etc.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.012	Member Correspondence	The PAS will provide the capability to automatically generate letters and send to the printer, email or outgoing mail.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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ReqID	Process	Requirement Detail	Priority	Meets Requirement?
308.013	Member Correspondence	The PAS will provide the capability to route letters to EDMS if signatures are not required. This would eliminate the need to print out the letters and scan them manually.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.014	Member Correspondence	The PAS will provide the capability to generate mass mailing letters / correspondence based on specific constraints / parameters that are configurable without the need for programming changes.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.015	Member Correspondence	The PAS will provide the capability to store templates for mass mailing and populate pre-defined form fields with the respective member data from the selected population. For example, COLA letters should only be sent to retired members. Thus when sending mass mailing letters, the PAS will have different constraints and parameters based on categories such as member status, type of retirement plan, retirement date etc.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.016	Member Correspondence	The PAS will provide the capability to allow changes and updates to system generated form letters / correspondence as part of an event based on appropriate authorization / security.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.017	Member Correspondence	The PAS will provide the capability to change or update existing templates without the need for a programming change.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.018	Member Correspondence	The PAS will provide the capability to track previous correspondence including benefit estimates that has been generated and mailed out to a member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.019	Member Correspondence	The PAS will provide the capability to generate a welcome letter or a retirement confirmation letter for the respective member automatically as the last step in the respective process (i.e. as the last step of the enrollment process and as the last step of the retirement process).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.020	Member Correspondence	The PAS will provide the capability to store member's email id for future use and mass mailings via email.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
308.021	Member Correspondence	The PAS will provide the capability to do selective reviews or sampling of mass mailings before the final acceptance.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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## A.9 Member Enrollment (309)


ReqID	Process	Requirement Detail	Priority	Meets Requirement?
309.001	New Member Enrollment	<p>The PAS will provide the capability to restrict enrollment to regular full-time employees in specific job classifications.</p> <ol style="list-style-type: none"> <li>1) Safety- those employees who are in positions in which the principal duties consist of either active law enforcement or active fire suppression.</li> <li>2) General- all employees not classified as Safety members.</li> <li>3) Reciprocal members - incoming reciprocal members who have established membership with a reciprocal agency.</li> <li>4) Elected Officials - elected officials of County of Fresno. New and returning elected officials must establish membership.</li> </ol> <p>Membership at FCERA begins upon appointment to permanent position of at least 50% of full-time except for Elected Officials who must elect membership if desired.</p>	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.002	New Member Enrollment	<p>The PAS will provide the capability to start contributions for a new member based on user defined period.</p> <p>Currently the effective date of membership is the first day of the pay period following the date of employment.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.003	New Member Enrollment	The PAS will provide the capability to create new statuses without the need for programming updates.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.004	New Member Enrollment	The PAS will provide the capability to update membership eligibility requirements without the need for programming updates.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.005	New Member Enrollment	The PAS will provide the capability to accommodate social security integration.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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<b>ReqID</b>	<b>Process</b>	<b>Requirement Detail</b>	<b>Priority</b>	<b>Meets Requirement?</b>
309.006	New Member Enrollment	The PAS will provide the capability (check box) to turn on/off social security integration.  Currently Fresno-Madera Area Agency on Aging does not participate in social security integration nor do several prior active plan sponsors that still have deferred members.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.007	New Member Enrollment	The PAS will provide the capability to assign a new date of membership for rehired employees who took a refund of their previous contributions. FCERA would like to track different hire dates and breaks in Service for a re-hires and reciprocal members.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.008	New Member Enrollment	The PAS will provide the capability to retain previous tier level for rehires who left contributions on deposit. If a member is a previous FCERA member who did not receive a refund (i.e. a deferred member), he/she will retain the previous tier and will get a new hire date and possibly a new age.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.009	New Member Enrollment	The PAS will provide the capability to keep history of membership dates.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.010	New Member Enrollment	The PAS will provide the capability to assign a new hire date for rehired employees.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.011	New Member Enrollment	The PAS will provide the capability to track multiple hire dates to record breaks in service properly. (i.e., store the initial hire date as well as the rehire date as a separate hire date).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.012	New Member Enrollment	The PAS will provide the capability to process re-deposits for rehires. If a member took refund on his/her contributions, a new hire date and a new date of membership will be entered.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.013	New Member Enrollment	The PAS will provide the capability to process purchase of service for new hires that were extra help/part-time beforehand and who might be eligible to purchase some or all of that extra help/part-time time. New member enrollments for members who change their status from extra help/part-time to fulltime are processed in the same way as any new fulltime employee except that such members might be eligible to purchase the time they worked as an extra help/part time employee.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement Detail	Priority	Meets Requirement?
309.014	New Member Enrollment	The PAS will provide the capability to classify employees as “Rehired”/ assign “Rehired” status to members during the enrollment process.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.015	New Member Enrollment	The PAS will provide the capability to create new member enrollment from payroll transmittal files. Fresno County sends new member enrollment information in PSBiweekly file.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.016	New Member Enrollment	The PAS will provide the capability to handle interface files from different payroll systems in different standard file formats (e.g. csv, excel, XML, etc.)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.017	New Member Enrollment	The PAS will provide the capability to support automatic member enrollment for each of the interface files via a wizard interface.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.018	New Member Enrollment	The PAS will provide an Excel template to upload new member enrollment information for Special Districts. Currently enrollment for Special Districts is a manual process. FCERA would like to enter the new member information using Excel spreadsheet.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.019	New Member Enrollment	The PAS will provide the capability to report eligible new hires who appear in the payroll transmittal file.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.020	New Member Enrollment	The PAS will provide the capability to report non-eligible new hires who appear in the payroll transmittal file based on status codes or scheduled hours.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.021	New Member Enrollment	The PAS will provide the capability to prompt staff if a particular member is new or has a schedule change and provide staff with a wizard interface to complete the enrollment steps.  Regardless of the wizard interface, the PAS must have the ability to automatically create new member records based on data submitted from the payroll interface file.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.022	New Member Enrollment	The PAS will provide the capability to identify records contained in payroll transmittal files, for which there is a matching member record is found in the system. (i.e., member already exists and the transmittal file import process will return an exception, and will allow posting records but providing the user with an exception report/activity report (see payroll import process) that will allow further review. )	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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ReqID	Process	Requirement Detail	Priority	Meets Requirement?
309.023	New Member Enrollment	<p>The PAS will provide the capability to collect and store the following but not limited to:</p> <p><b><u>Employee Information:</u></b></p> <ul style="list-style-type: none"> <li>• Employee ID</li> <li>• Employee Name (First/MI/Last/Suffix)</li> <li>• Age for contributions</li> <li>• Employee Class</li> <li>• Contribution Rates</li> <li>• Amount of Contribution</li> <li>• Address</li> <li>• Social Security #</li> <li>• Date of Birth</li> <li>• Date Hired</li> <li>• Plan Sponsor</li> <li>• Total Service (including buybacks, reciprocal service, etc.)</li> <li>• Department</li> <li>• Position Title</li> <li>• Date of Membership</li> <li>• Date of Retirement</li> <li>• Tier</li> <li>• Plan</li> <li>• Range and Step</li> <li>• Class Code</li> <li>• Bargaining Unit</li> <li>• Dept. Number</li> <li>• Mo. Salary</li> <li>• Bi-Weekly Salary</li> <li>• Scheduled hours</li> <li>• Gender (M/F)</li> </ul> <p><b><u>Beneficiary Information:</u></b></p> <ul style="list-style-type: none"> <li>• Name #1, 2, 3</li> <li>• Date of Birth</li> </ul>	1	<input type="checkbox"/> YES <input type="checkbox"/> NO


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ReqID	Process	Requirement Detail	Priority	Meets Requirement?
		<ul style="list-style-type: none"> <li>Relationship</li> <li>Percentage</li> <li>Address</li> <li>Date of Marriage</li> </ul>		
309.024	New Member Enrollment	The PAS will provide the capability to generate a New Member Report based on a date range that will give FCERA an overview of all new members enrolled in the system within the specified reporting period.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.025	New Member Enrollment	<p>The PAS will provide the capability to generate a detailed report of all new member records created within a user-specified period, for a <i>specific Plan Sponsor</i>. This report must contain, but not be limited to:</p> <ul style="list-style-type: none"> <li>Name</li> <li>Date of Birth</li> <li>SSN /EmployeeID / other ID Number</li> <li>Plan / Tier</li> <li>Contribution Rate</li> <li>FTE Status (Scheduled hours)</li> <li>Date of Hire</li> <li>Date of Membership</li> <li>Salary</li> <li>Bargaining Unit</li> <li>Job Class</li> <li>Birth Date</li> <li>Employer (i.e. County, Special Districts)</li> <li>Department</li> <li>Age for contributions</li> <li>Tier</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.026	New Member Enrollment	<p>The PAS will provide the capability to generate a detailed report of all members with data changes transmitted in a given payroll transmittal file, including, but not limited to:</p> <ul style="list-style-type: none"> <li>Member Demographics</li> <li>FTE Status (scheduled hours)</li> <li>Member Status</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO



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ReqID	Process	Requirement Detail	Priority	Meets Requirement?
		<ul style="list-style-type: none"> <li>• Age of Entry</li> <li>• Date of Entry</li> <li>• Tier / Plan</li> <li>• Bargaining Unit</li> <li>• Age at Membership</li> </ul>		
309.027	New Member Enrollment	The PAS will provide the capability to generate an exception report for new hires with \$0 contributions for staff to verify contributions.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.028	New Member Enrollment	The PAS will provide the capability to create a new member enrollment report with information on status within the process (e.g., Member enrolled in PAS, Welcome letter sent, Missing Form, etc.)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.029	New Member Enrollment	The PAS will provide the capability to implement a workflow process to record, track and report status of enrollment process steps.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.030	New Member Enrollment	The PAS will provide the capability to create alerts or reminders for sending welcome packets or other correspondence.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.031	New Member Enrollment	The PAS will provide the capability to generate an automated welcome letter for new members as well as address label files if the member is added via the transmittal file or manually.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
309.032	New Member Enrollment	The PAS will provide the capability to restrict employees who are over 60 years of age and have submitted Waiver of Membership form within 30 days of membership to “opt out” of the system, to receive membership as waiver of membership is irrevocable.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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## A.10 Retirement (500)

### A.10.1 Retirement, New Retirement (500)


ReqID	Process	Requirement details	Priority	Meets Requirement?			
500.001	New Retirement	The PAS will provide automated tools to assist FCERA in setting up new retirees.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.002	New Retirement	The PAS will provide the capability to schedule counseling sessions with new retirees.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
500.003	New Retirement	The PAS will provide the capability to assign the member to a Retirement Coordinator.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
500.004	New Retirement	The PAS will provide the capability to generate calendar reminders for the Retirement Coordinator to track appointments, due dates, follow-up, and other events in the new retirement setup process.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
500.005	New Retirement	The PAS will provide the capability to automate checklists that assist the Retirement Coordinator in preparing for the retirement counseling session.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.006	New Retirement	The PAS will provide automated checklist to assist the Retirement Coordinator in completing the member's file review.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.007	New Retirement	The PAS will provide the capability for non-technical FCERA staff to add, modify, and delete items on the checklists.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.008	New Retirement	The PAS will provide the automated capability to identify any reciprocity that is in effect for the retiring member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			

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<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>	<b>Meets Requirement?</b>
500.009	New Retirement	<p>The PAS will provide the automated capability for the Retirement Coordinator to confirm the member's eligibility for retirement. The rules for eligibility are as follows:</p> <ol style="list-style-type: none"> <li>If the member is a General Member, the member is eligible for retirement: <ol style="list-style-type: none"> <li>At age fifty, if the member has at least ten years of service credit, excluding prior public service or golden handshakes; or</li> <li>At any age, if the member has thirty years of service credit; or</li> <li>At age seventy, regardless of years of service credit.</li> </ol> </li> <li>If the member is a Safety Member, the member is eligible for retirement: <ol style="list-style-type: none"> <li>At age fifty, if the member has at least ten years of service credit, excluding prior public service or golden handshakes; or</li> <li>At any age, if the member has at least twenty years of service credit.</li> </ol> </li> <li>The member's service credit under all reciprocal systems will be added together to determine eligibility for retirement allowance from FCERA, provided that the member retires concurrently from all reciprocal systems.</li> <li>When reciprocity is involved, the Retirement Coordinator may use alternate criteria to determine retirement eligibility. A member is eligible when the member is age 50, has ten years of combined service (excluding golden handshakes and prior public service), and the member's first contributed dollar has been in any reciprocal retirement system for 10 years. A member is vested after completing five years of service.</li> <li>Eligibility service only applies when qualifying for retirement. It does not impact the benefit received.</li> </ol>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.010	New Retirement	The PAS will provide an automated capability for the Retirement Coordinator to verify the date of retirement.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.011	New Retirement	The PAS will provide the automated capability for the Retirement Coordinator to verify any service purchases that are in-process.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.012	New Retirement	The PAS will provide an automated capability to verify the final active payroll for the member has been imported.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.013	New Retirement	The PAS will provide an automated capability to audit the member' Service.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.014	New Retirement	The PAS will provide an automated capability to verify pay elements.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.015	New Retirement	The PAS will provide an automated capability to verify final pay.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.016	New Retirement	The PAS will provide an automated capability to identify Final Compensation.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
500.017	New Retirement	The PAS will provide an automated capability to calculate Final Average Compensation.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.018	New Retirement	The PAS will provide the capability for the user to override the amount of Final Average Compensation.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.019	New Retirement	The PAS will provide an automated capability to calculate the member's service for multiple tiers and classifications of service.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.020	New Retirement	<p>The PAS will provide the capability to update member information that is incomplete or incorrect, such as those listed below.</p> <ul style="list-style-type: none"> <li>a. Birth date</li> <li>b. Age factor</li> <li>c. Date of retirement</li> <li>d. Final Compensation (per plan/tier)</li> <li>e. Service (per plan/tier)</li> <li>f. Date of membership</li> <li>g. If spouse, spouse name and birth date</li> <li>h. Contributions, nontaxable (post tax, after tax) and regular (taxable)</li> <li>i. COLA adjustments</li> <li>j. Name and address of member</li> <li>k. Type of retirement (Service, Disability, Death)</li> <li>l. Beneficiary type/relationship (Spouse, Minor child, Other, None), plus verification of beneficiary age, marriage, and registration of domestic partnership</li> <li>m. Tier and classification (General or Safety)</li> <li>n. Estimated Social Security benefit</li> <li>o. Temporary Annuity option</li> <li>p. Reciprocity</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.021	New Retirement	The PAS will provide the capability to produce the Calculation Summary report for the retiring member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.022	New Retirement	The PAS will provide the capability to produce the member's Audit Trail report. For split tiers, the Audit Trail will show two or more calculations.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.023	New Retirement	The PAS will provide the automated capability to calculate the Vested Health Benefit for the retiring member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.024	New Retirement	The PAS will provide the automated capability to calculate the non-Vested Health Benefit for the retiring member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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ReqID	Process	Requirement details	Priority	Meets Requirement?			
500.025	New Retirement	The PAS will provide the automated capability to adjust the Retirement Allowance for the Temporary Annuity amount, if the member has chosen the Temporary Annuity option.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
500.026	New Retirement	The PAS will provide the capability to record the results of Peer Reviews on retirement set-ups. At a minimum, the peer review results will contain Reviewed by, Review date, Review issues (if any).	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
500.027	New Retirement	The PAS will provide the automated capability to produce the Benefit Options for the retiring member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.028	New Retirement	The PAS will provide the capability to create the cover letter for the Benefit Options form to the member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.029	New Retirement	The PAS will provide the capability to include the retiring member's payroll data in the retiree payroll output file. (See the requirements for Retiree Payroll, documented separately for details about this output file.)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.030	New Retirement	The PAS will provide the capability to confirm that all required documents are completed and in the member's file prior to releasing the retiree's payments to payroll.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.031	New Retirement	The PAS will provide the capability to include any retro-active payment amounts for the member in the member's first pension check.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.032	New Retirement	The PAS will provide the automated capability to include adjustments to pension payment amounts. This is often necessary to true-up any changes due to final pay information from Plan Sponsor. It typically take three pay cycles to get the continuing amount correct: 1. month 1- the initial pay amount, 2. month 2 - the corrected pay amount plus adjustments, 3. month 3- the continuing correct pay amount	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			


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### A.10.2 Retirement, Final Compensation (500)

ReqID	Process	Requirement details	Priority				
500.041	Retirement- Final Compensation	The PAS will provide the capability to automate Final Compensation calculations reliably and accurately.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.042	Retirement- Final Compensation	The PAS will provide the capability to determine an applicant's payroll cycle for the purpose of calculating Final Compensation: bi-weekly, semi-monthly, or monthly.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.043	Retirement- Final Compensation	The PAS will provide the capability to determine an applicant's benefit tier(s) for the purpose of calculating Final Compensation: Tier I, II, or III. An applicant may have service in multiple Tiers.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.044	Retirement- Final Compensation	The PAS will provide the capability to determine an applicant's Classification: General or Safety. Although an applicant may have service in both classifications, classification has no impact on calculating Final Compensation.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.045	Retirement- Final Compensation	An employment status of 'Extra Help' will have no impact to any calculations by the PAS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.046	Retirement- Final Compensation	The PAS will provide the capability for an applicant to purchase salary on qualifying Earn Codes to enhance Final Compensation calculation. (See Service Purchase process for details).	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
500.047	Retirement- Final Compensation	The PAS will provide the capability to automate the calculation of reciprocal final compensation using the reciprocal employer's definition of Compensation Earnable, for Earn Codes that are recognized by FCERA.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
500.048	Retirement- Final Compensation	The PAS will provide the capability to automate the calculation of reciprocal final compensation using the FCERA's definition of Compensation Earnable, for Earn Codes that are NOT recognized by FCERA.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
500.049	Retirement- Final Compensation	The PAS will provide the capability to override automated final compensation calculations to accommodate special cases.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			


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ReqID	Process	Requirement details	Priority																																							
500.050	Retirement- Final Compensation	The PAS will provide the capability to import and store compensation details by Earn Code from Plan Sponsors (pending legislation).	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>																																			
500.051	Retirement- Final Compensation	Upon death or retirement for service or disability, the Final Compensation used to determine the member’s <u>continuing</u> benefits from FCERA will be based on the highest Compensation Earnable under any of the member’s reciprocal systems, provided that the member retires concurrently from all reciprocal systems, subject to limitations of recognized reciprocal Earn Codes.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO																																						
500.052	Retirement- Final Compensation	<p>The PAS will calculate Final Compensation for applicants on <b>bi-weekly payroll</b> as follows:</p> <p>For Tier I or II Safety and General members: determine the highest average Compensation Earnable during any 365-consecutive day period (26 pay periods plus 1 day (1/14<sup>th</sup> of a pay period)). The first pay period considered is determined by starting with the date of retirement and backing up one pay period. Generally, 27 pay periods will be examined; however, sometimes it will be 28 when the final pay period is not included in full in computing Final Compensation. Sometimes, the single day will be included as part of the latest pay period and sometimes as part of the earliest pay period, depending on the salary history. The calculation is repeated until the highest series is identified. The highest series might not be the final year of service.</p> <p>Example:</p> <table><tr><td>Bi-weekly Salary</td><td></td><td>No. of Pay Periods</td><td></td><td></td></tr><tr><td>\$2,611.00</td><td>Multiplied by</td><td>20</td><td>=</td><td>\$52,220.00</td></tr><tr><td>\$2,480.00</td><td>Multiplied by</td><td>6</td><td>=</td><td>\$14,880.00</td></tr><tr><td>\$2,480.00</td><td>Multiplied by</td><td>1/14</td><td>=</td><td>\$177.14</td></tr><tr><td></td><td colspan="3"></td><td>-----</td></tr><tr><td></td><td colspan="3"></td><td>\$67,277.14</td></tr><tr><td></td><td colspan="3">Divided by</td><td>12</td></tr></table>	Bi-weekly Salary		No. of Pay Periods			\$2,611.00	Multiplied by	20	=	\$52,220.00	\$2,480.00	Multiplied by	6	=	\$14,880.00	\$2,480.00	Multiplied by	1/14	=	\$177.14					-----					\$67,277.14		Divided by			12	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
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		<table><tr><td></td><td></td><td></td><td>-----</td></tr><tr><td></td><td></td><td>Final Compensation</td><td>\$5,606.43</td></tr></table> <p>If Tier III (General members only): determine the highest average Compensation Earnable during any three consecutive non-overlapping one-year periods. Although the pay periods within each one-year period must be consecutive, the three individual one-year periods need not be consecutive. The calculation is repeated until the highest series is identified. The highest series might not be the final year of service. The example below assumes the three one-year periods are consecutive for ease of explaining:</p> <p>Example:</p> <table><tr><td>Bi-weekly Salary</td><td></td><td>No. of Pay Periods</td><td></td><td></td></tr><tr><td>\$2,611.00</td><td>Multiplied by</td><td>12</td><td>=</td><td>\$31,332.00</td></tr><tr><td>\$2,480.00</td><td>Multiplied by</td><td>26</td><td>=</td><td>64,480.00</td></tr><tr><td>\$2,356.00</td><td>Multiplied by</td><td>26</td><td>=</td><td>61,256.00</td></tr><tr><td>\$2,338.00</td><td>Multiplied by</td><td>14</td><td>=</td><td>32,732.00</td></tr><tr><td>\$2,338.00</td><td>Multiplied by</td><td>3/14</td><td>=</td><td>501.00</td></tr><tr><td></td><td></td><td></td><td></td><td>-----</td></tr><tr><td></td><td></td><td></td><td></td><td>\$190,301.00</td></tr><tr><td></td><td>Divided by</td><td></td><td></td><td>36</td></tr><tr><td></td><td></td><td></td><td></td><td>-----</td></tr><tr><td></td><td></td><td>Final Compensation</td><td></td><td>\$5,286.14</td></tr></table>				-----			Final Compensation	\$5,606.43	Bi-weekly Salary		No. of Pay Periods			\$2,611.00	Multiplied by	12	=	\$31,332.00	\$2,480.00	Multiplied by	26	=	64,480.00	\$2,356.00	Multiplied by	26	=	61,256.00	\$2,338.00	Multiplied by	14	=	32,732.00	\$2,338.00	Multiplied by	3/14	=	501.00					-----					\$190,301.00		Divided by			36					-----			Final Compensation		\$5,286.14		
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500.053	Retirement- Final Compensation	<p>The PAS will calculate Final Compensation for applicants on <b>semi-monthly payroll</b> as follows: Final Compensation is equal to the highest average Compensation Earnable during any 365-consecutive day period (24 pay periods). The calculation is repeated until the highest series is identified. The highest series might not be the final year of</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO																																																															




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ReqID	Process	Requirement details	Priority																										
		<p>service.</p> <p>Example:</p> <table border="1"> <thead> <tr> <th>Semi-Monthly Salary</th><th></th><th>No. of Pay Periods</th><th></th><th>Amount</th></tr> </thead> <tbody> <tr> <td>\$2,611.00</td><td>Multiplied by</td><td>18</td><td>=</td><td>\$46,998.00</td></tr> <tr> <td>\$2,480.00</td><td>Multiplied by</td><td>6</td><td>=</td><td>14,880.00</td></tr> <tr> <td colspan="4">Divided by</td><td>12</td></tr> <tr> <td colspan="4">Final Compensation</td><td>\$5,156.50</td></tr> </tbody> </table>	Semi-Monthly Salary		No. of Pay Periods		Amount	\$2,611.00	Multiplied by	18	=	\$46,998.00	\$2,480.00	Multiplied by	6	=	14,880.00	Divided by				12	Final Compensation				\$5,156.50		
Semi-Monthly Salary		No. of Pay Periods		Amount																									
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Final Compensation				\$5,156.50																									
500.054	Retirement- Final Compensation	<p>The PAS will calculate Final Compensation for applicants on <b>monthly payroll</b> as follows:</p> <p>Final Compensation is equal to the highest average Compensation Earnable during any 365-consecutive day period (12 pay periods). The calculation is repeated until the highest series is identified. The highest series might not be the final year of service.</p> <p>Example:</p> <table border="1"> <thead> <tr> <th>Monthly Salary</th><th></th><th>No. of Pay Periods</th><th></th><th>Amount</th></tr> </thead> <tbody> <tr> <td>\$5,222.00</td><td>Multiplied by</td><td>8</td><td>=</td><td>\$41,776.00</td></tr> <tr> <td>\$4,960.00</td><td>Multiplied by</td><td>4</td><td>=</td><td>19,840.00</td></tr> <tr> <td colspan="4">Divided by</td><td>12</td></tr> <tr> <td colspan="4">Final Compensation</td><td>\$5,134.67</td></tr> </tbody> </table>	Monthly Salary		No. of Pay Periods		Amount	\$5,222.00	Multiplied by	8	=	\$41,776.00	\$4,960.00	Multiplied by	4	=	19,840.00	Divided by				12	Final Compensation				\$5,134.67	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
Monthly Salary		No. of Pay Periods		Amount																									
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Divided by				12																									
Final Compensation				\$5,134.67																									
500.055	Retirement- Final Compensation	<p>The PAS will provide the capability to convert remaining Leave hours to Service. FCERA obtains the number of hours to be converted from the Plan Sponsor. FCERA will input the number of hours into the PAS for conversion. The Leave converted to Service has no impact on the calculation of Final Compensation.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO																									


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### A.10.3 Retirement, Retiree Health Benefit (500)

ReqID	Process	Requirement details	Priority	Meets Requirement?			
500.061	Retirement Health Benefit	The PAS will provide the capability to calculate the Non-vested Health Benefit amount for the retiring member.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.062	Retirement Health Benefit	The PAS will provide a system-wide true/false setting that indicates if the Non-vested Health Benefit is available.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.063	Retirement Health Benefit	The PAS will provide a data range setting to indicate the time period the Non-vested Health Benefit is available.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
500.064	Retirement Health Benefit	When the Non-vested Health Benefit is available, the PAS will provide a field on the screen to hold the amount of the benefit for the retiring member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.065	Retirement Health Benefit	When the Non-vested Health Benefit is not available, the PAS will disable the field on the screen and display the default value of \$0.00	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.066	Retirement Health Benefit	The PAS will provide the capability to update a system-wide base amount, rate, and/or maximums used in calculating the Non-vested Health Benefit amount.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.067	Retirement Health Benefit	The PAS will exclude prior public service, reciprocal service, and golden handshake service credit from the member’s Service when calculating the Non-vested Health Benefit amount.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.068	Retirement Health Benefit	The PAS will calculate the non-vested Health Benefit as follows: 1. The maximum benefit is currently \$150 per month for members with 30 years of qualifying service. 2. If date of membership with FCERA is prior to January 1, 1990, the benefit is calculated as: \$45.00 per month base amount, plus \$3.50 for every completed full year of service, to a maximum of thirty years of service (excluding any reciprocity, public service credit purchased, and/or golden handshakes granted by the member’s employer). The minimum benefit available to the member is \$45 per month and can be apportioned to alternate payees and beneficiaries. 3. If date of membership with FCERA is January 1, 1990 or after, the benefit is	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>

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		<p>calculated as: \$5.00 for every completed full year of service, to a maximum of thirty years of service (excluding any reciprocity, public service credit purchased and/or golden handshakes granted by the member's employer). The minimum benefit available to the member is \$5 per month and can be apportioned to alternate payees and beneficiaries.</p> <p>4. The non-vested health benefit is available to all members at retirement. The benefit extends to alternate payees as community property and continuances. The continuance is calculated at 100% of the benefit regardless of the option taken and is subject to apportionment to alternate payees and beneficiaries.</p>					
500.069	Retirement Health Benefit	The PAS will provide the capability to override the availability setting and/or date range during which the Non-vested Health Benefit is available.	4	<div>1</div> <input type="checkbox"/>	<div>2</div> <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	<div>3</div> <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	<div>4</div> <input type="checkbox"/>
500.070	Retirement Health Benefit	The PAS will provide the capability to override the amount calculated for the non-vested Health Benefit.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.071	Retirement Health Benefit	The PAS will provide the capability to calculate the Vested Health Benefit amount.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.072	Retirement Health Benefit	The PAS will provide a system-wide true/false setting that indicates if the Vested Health Benefit is available.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.073	Retirement Health Benefit	The PAS will provide a data range setting to indicate the time period the Vested Health Benefit is available.	4				
500.074	Retirement Health Benefit	When the Vested Health Benefit is available, the PAS will provide a field on the screen to hold the amount of the benefit for the retiring member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.075	Retirement Health Benefit	When the Vested Health Benefit is not available, the PAS will disable the field on the screen and display the default value of \$0.00	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.076	Retirement Health Benefit	The PAS will provide the capability to update a system-wide base amount, rate, and/or maximums used in calculating the Vested Health Benefit amount.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.077	Retirement Health Benefit	The PAS will exclude prior public service, reciprocal service, and golden handshake service credit from the member's Service when calculating the Vested Health Benefit amount.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			

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ReqID	Process	Requirement details	Priority	Meets Requirement?
500.078	Retirement Health Benefit	The PAS will calculate the vested Health Benefit (also called Settlement Health Benefit) as \$3.00 per full year of service for all retirees (excluding any reciprocity, public service credit purchased and/or golden handshakes granted by the member's employer), up to a maximum of 30 years of service or \$90 per month. The minimum benefit is \$0 per month.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.079	Retirement Health Benefit	The PAS will provide the capability to override the amount calculated for vested Health Benefit.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.080	Retirement Health Benefit	The vested health benefit is available to all members at retirement. The benefit extends to alternate payees as community property and continuances. The continuance is calculated at 100% of the benefit regardless of the option taken and is subject to apportionment to alternate payees and beneficiaries.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

#### A.10.4 Retirement, Benefit Options (500)


ReqID	Process	Requirement details	Priority	Meets Requirement?
500.091	Retirement Benefit Options	The PAS will provide the capability to determine the Service Retirement Benefit Options available to the retiring member.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.092	Retirement Benefit Options	The PAS will allow only those Retirement Options that are appropriate to the member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.093	Retirement Benefit Options	The PAS will provide the capability to record the Option the member has chosen.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.094	Retirement Benefit Options	The PAS will prevent changing the Option once the first benefit check has been issued, except in extenuating circumstances.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.095	Retirement Benefit Options	The PAS will provide the capability to override the Option selected, to accommodate special circumstances.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.096	Retirement Benefit Options	The PAS will provide the capability to record the final retirement benefit amount based on the Retirement Option that the member selected. The calculation of the benefit for the various Options is specified in the Estimates process.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.097	Retirement Benefit Options	The PAS will enforce the following benefits and rules if a member has chosen the Unmodified Option:	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
		<ol style="list-style-type: none"> <li>1. Full retirement allowance, as calculated in Estimates process</li> <li>2. A 60% continuing monthly benefit to the member's spouse or registered domestic partner, if member was married for at least one year immediately preceding the member's retirement date or married for at least 2 years after retirement and the member's spouse or registered domestic partner is at least 55 years of age on the date of the member's death.</li> <li>3. A 100% continuing monthly benefit to the member's spouse or registered domestic partner, if the member is receiving a service-connected disability retirement allowance.</li> <li>4. If the member does not have a surviving spouse or registered domestic partner, or if the member's surviving spouse or registered domestic partner dies, the continuing monthly benefit will be paid collectively to the member's dependent children until the member's last child marries, reaches age 18 (age 22 if a full-time student in an accredited school) or dies, whichever comes first.</li> <li>5. If the member's spouse or registered domestic partner dies before the member or if the member does not have a spouse or registered domestic partner, or any dependent child (ren), a continuing monthly benefit is not available. This option then provides for a lump sum payment to the member's beneficiary or the member's estate of any balance remaining from the member's accumulated contributions less the sum of the actual total monthly retirement allowance payments received by the member before the member's death.</li> </ol>		
500.098	Retirement Benefit Options	<p>The PAS will enforce the following benefits and rules if the member has chosen <b>Option 1</b>.</p> <ol style="list-style-type: none"> <li>1. A reduced retirement allowance, as calculated by the Actuary or the Estimates Process.</li> <li>2. A lump sum payment to the member's beneficiary of any balance remaining from the member's accumulated contributions less the sum of monthly annuity payments received by the member before the member's death.</li> <li>3. An opportunity to change the named beneficiary after the member's retirement should the member's beneficiary die before the member.</li> </ol>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?			
500.099	Retirement Benefit Options	<p>The PAS will enforce the following benefits and rules if the member has chosen <b>Option 2:</b></p> <ol style="list-style-type: none"> <li>1. A reduced retirement allowance, as calculated by the Actuary or the Estimates Process and based upon the difference in age between the member and the member's beneficiary. The younger the member's beneficiary is in relation to the member, the larger the reduction to the member's benefit will be.</li> <li>2. A 100% continuing monthly benefit to the member's beneficiary.</li> <li>3. No opportunity to change the named beneficiary after the member's retirement should the member's beneficiary die before the member.</li> </ol>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.100	Retirement Benefit Options	<p>The PAS will enforce the following benefits if the member has chosen <b>Option 3:</b></p> <ol style="list-style-type: none"> <li>1. A reduced retirement allowance, as calculated by the Actuary or the Estimates Process and based upon the difference in age between the member and the member's beneficiary. The younger the beneficiary is in relation to the member, the larger the reduction to the member's benefit will be.</li> <li>2. A 50% continuing monthly benefit to the member's beneficiary.</li> <li>3. No opportunity to change the named beneficiary after the member's retirement should the member's beneficiary die before the member.</li> </ol>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.101	Retirement Benefit Options	<p>The PAS will enforce the following benefits and rules if the member has chosen <b>Option 4:</b></p> <ol style="list-style-type: none"> <li>1. An actuarial equivalent retirement benefit paid out in a method approved by the Board of Retirement.</li> <li>2. "Basic Option 4" as defined by the Board of Retirement is one which provides equal continuing benefits to more than one beneficiary or is required in order to implement a court-approved Domestic Relations Order.</li> <li>3. No reversion to the remaining beneficiaries should they predecease one another. "Basic Option 4" allows no reversion to the remaining beneficiaries should they predecease one another. A "Non-Basic Option 4" allows reversion should a beneficiary pre-decease other beneficiaries. "Non-Basic Option 4" also allows unequal continuing benefit percentages to each beneficiary</li> <li>4. Election of the "Basic Option 4" benefit as defined above does not require additional approval by the Board of Retirement; however, any other retirement benefit option must be approved by the Board of Retirement.</li> <li>5. No opportunity to change the named beneficiaries after the member's retirement should the member's beneficiaries die before the member.</li> </ol>	4	<div>1</div> <input type="checkbox"/>	<div>2</div> <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	<div>3</div> <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	<div>4</div> <input type="checkbox"/>

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ReqID	Process	Requirement details	Priority	Meets Requirement?
500.102	Retirement Benefit Options	The PAS will issue a reminder for a waiver when the spouse is not the beneficiary.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


### A.10.5 Retirement, Temporary Annuity Option (500)

ReqID	Process	Requirement details	Priority	Meets Requirement?			
500.111	Retirement TAO	The PAS will provide the capability to store all values relevant to the Temporary Annuity Option calculation for all Retirement Options available to the member.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.112	Retirement TAO	The PAS will provide the capability to include the Temporary Annuity Option in the retirement benefit calculation.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
500.113	Retirement TAO	The PAS will allow the Temporary Annuity Option only for members who are eligible to receive Social Security benefits when the reach the age eligibility for Social Security.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.114	Retirement TAO	The PAS will store the TAO annuity factor tables, an example of which is shown in the Appendix below as Table 6 (General members) and Table 7 (Safety members)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.115	Retirement TAO	The PAS will provide the capability for non-technical FCERA staff to update the TAO annuity factor tables each time the Actuarial Assumptions change for FCERA.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.116	Retirement TAO	The PAS will calculate Age using the prior quarter birthday rules established by Social Security for the purposes of TAO calculation.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
500.117	Retirement TAO	Using the Temporary Annuity Factors provided in the annuity factor tables, the PAS will calculate the TAO amounts and the adjusted retirement benefit amounts as shown below. The calculation result cannot be a negative number	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
					General Tier 1	Safety Tier 1	

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		<table><tr><td>Social Security Estimate</td><td>\$1500.00</td><td>\$1500.00</td></tr><tr><td>Temporary Annuity Factor, Age 55</td><td>X 0.5141</td><td>X 0.5068</td></tr><tr><td>Temporary Annuity</td><td>\$771.15</td><td>\$760.20</td></tr><tr><td></td><td></td><td></td></tr><tr><td colspan="3">Monthly Retirement before age 62</td></tr><tr><td>Retirement Allowance</td><td>\$3,431.10</td><td>\$4,494.47</td></tr><tr><td>Add Temporary Annuity</td><td>771.15</td><td>760.20</td></tr><tr><td>Total Monthly Benefit</td><td>\$4,202.25</td><td>\$5,254.67</td></tr><tr><td></td><td></td><td></td></tr><tr><td colspan="3">Monthly Retirement after age 62</td></tr><tr><td>Monthly Benefit Before age 62</td><td>\$4,202.25</td><td>\$5,254.67</td></tr><tr><td>Subtract Social Security Estimate</td><td>-1,500.00</td><td>-1,500.00</td></tr><tr><td>Monthly Benefit from FCERA</td><td>\$2,2702.25</td><td>\$3,754.67</td></tr><tr><td>Monthly Benefit from Social Security</td><td>1,500.00</td><td>1,500.00</td></tr><tr><td>Total Monthly Benefit</td><td>\$4,202.25</td><td>\$5,254.67</td></tr></table>	Social Security Estimate	\$1500.00	\$1500.00	Temporary Annuity Factor, Age 55	X 0.5141	X 0.5068	Temporary Annuity	\$771.15	\$760.20				Monthly Retirement before age 62			Retirement Allowance	\$3,431.10	\$4,494.47	Add Temporary Annuity	771.15	760.20	Total Monthly Benefit	\$4,202.25	\$5,254.67				Monthly Retirement after age 62			Monthly Benefit Before age 62	\$4,202.25	\$5,254.67	Subtract Social Security Estimate	-1,500.00	-1,500.00	Monthly Benefit from FCERA	\$2,2702.25	\$3,754.67	Monthly Benefit from Social Security	1,500.00	1,500.00	Total Monthly Benefit	\$4,202.25	\$5,254.67		
Social Security Estimate	\$1500.00	\$1500.00																																															
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Monthly Benefit from Social Security	1,500.00	1,500.00																																															
Total Monthly Benefit	\$4,202.25	\$5,254.67																																															
500.118	Retirement TAO	The PAS will reduce the monthly FCERA benefit amount by the amount of the Social Security estimate in the month after the member turns age 62. This action will be taken whether or not the member has applied to receive Social Security benefits and regardless of the actual amount of the member’s Social Security benefit.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO																																													
500.119	Retirement TAO	The PAS will provide the capability to generate a report containing TAOs that are about to revert to the normal pension amount within X number of months, where X is an input parameter to the report.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO																																													
500.120	Retirement TAO	The PAS will provide the capability to generate a letter to retirees whose TAOs are about to revert to the normal pension amount.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO																																													




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### A.10.6 Retirement, Benefit Estimate (500)


ReqID	Process	Requirement details	Priority	Meets Requirement?
500.131	Benefit Estimates	The PAS will provide the capability to produce retirement Benefit Estimates.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.132	Benefit Estimates	The PAS will provide the capability to produce death Benefit Estimates.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.133	Benefit Estimates	The PAS will provide the capability to save Benefit Estimates, together with their assumptions and the date of the estimates, as data in the PAS for historical reference.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.134	Benefit Estimates	The PAS will provide the capability to recall/view Benefit Estimates, together with their assumptions.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.135	Benefit Estimates	The PAS will provide the capability to produce estimates at any time without affecting members' permanent data in the PAS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.136	Benefit Estimates	The PAS will provide the capability to produce estimates containing all benefit options pertinent to the member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.137	Benefit Estimates	The PAS will provide the capability to produce estimates containing only the option(s) requested by the member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.138	Benefit Estimates	The PAS will allow only those benefits options relevant to the member's situation to appear on the Benefit Estimate, per the following rules: a) Member has no beneficiaries: Unmodified Option, or Option 1. b) Member has only a spouse: Unmodified Option, Option 1, or Option 2. c) Member has a non-spouse beneficiary or 1 child beneficiary: Unmodified Option, Option 1, Option 2, or Option 3. d) Member has more than one beneficiary, a marital dissolution, or special situation: Option 4 only.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.139	Benefit Estimates	Without affecting the member's permanent data, the PAS will provide the capability to show the impact of purchasing service credits prior to retirement.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.140	Benefit Estimates	The PAS will include a notice on the estimate if the IRC415b limitation applies to the member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.141	Benefit Estimates	The PAS will use member data, business rules, and benefit tables stored within the PAS database to calculate the content of the estimates.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.142	Benefit Estimates	The PAS will provide the capability to delete benefit estimates.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>	<b>Meets Requirement?</b>
500.143	Benefit Estimates	The PAS will provide the capability to include custom notes and comments on the benefit estimate.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.144	Benefit Estimates	<p>The PAS will provide user-tailorable checklists, workflow, and/or other aids to ensure that all termination documents have been received prior to establishing the final benefit amount. The following are examples of required items:</p> <ul style="list-style-type: none"> <li>• County termination records</li> <li>• Termination of member in Peoplesoft</li> <li>• Annual/Sick Leave conversions</li> <li>• Final History Card</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.145	Benefit Estimates	The PAS will provide the capability to include DROs in the benefit estimate calculation.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.146	Benefit Estimates	The PAS will provide the capability to include multiple beneficiaries and their dates of birth in the benefit estimate calculation.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.147	Benefit Estimates	The PAS will provide the capability to set up the retiree's payroll records based on a benefit estimate that was prepared before the benefit amount is finalized (i.e. before all termination records have been received from the Plan Sponsor).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.148	Benefit Estimates	The PAS will provide the capability to override benefit eligibility when creating an estimate, without affecting the member's permanent data.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.149	Benefit Estimates	The PAS will compute projected values in the benefit estimate based on known values provided as input.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.150	Benefit Estimates	The PAS will compute service and/or salary given a desired benefit amount as input (i.e. reverse benefit calculator).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.151	Benefit Estimates	The PAS will provide the capability to override or enter manually values for purchased service when creating an estimate, without affecting the member's permanent data.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.152	Benefit Estimates	The PAS will provide the capability to override or enter manually values for reciprocal service when creating an estimate, without affecting the member's permanent data.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.153	Benefit Estimates	The PAS will provide the capability to include and save notes on the benefit estimate.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.154	Benefit Estimates	The PAS will provide the capability to include calculations regarding Social Security integration at age 62 on the Benefit Estimate.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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ReqID	Process	Requirement details	Priority	Meets Requirement?
500.155	Benefit Estimates	The PAS will provide the capability to include calculations regarding the Temporary Annuity Option on the Benefit Estimate, when applicable.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.156	Benefit Estimates	The PAS will provide the capability to produce and save the Estimate Letter containing the member's benefit estimate and the assumptions used to produce the estimate.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.157	Benefit Estimates	The PAS will provide the capability to manually edit the content of the estimate letters to accommodate special circumstances.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.158	Benefit Estimates	The PAS will provide the capability to include custom notes and comments on the Estimate Letter.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.159	Benefit Estimates	The PAS will provide the capability to exclude SSNs from the Estimate Letter.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.160	Benefit Estimates	The PAS will provide the capability to include any disclaimers on the Estimate Letter.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
500.161	Benefit Estimates	The PAS will provide the capability to recall and view previously saved Estimate Letters.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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## A.11 Disability (501)


ReqID	Process	Item detail	Priority	Meets Requirement?
501.001	Disability	The PAS will provide automation in the form of checklists, calendars, calculations, and other tools to support the tracking of documents and events involved in processing a disability application.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
501.002	Disability	The PAS will provide the capability to designate a member's account in the PAS as 'pending disability' for as long as the claim approval process may take. It is not unusual for a disability claim to take 15-32 months to reach decision.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
501.003	Disability	<p>The PAS will provide the capability to record a member's basic qualifications to receive a <b>non-service connected</b> disability benefit</p> <ul style="list-style-type: none"> <li>The member must be permanently disabled and unable to perform the duties of the member's specific job (as decided and approved by the Board); and</li> <li>The member must have at least five years of service credit, including reciprocal service but excluding public service credit purchased, as calculated by the PAS.</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
501.004	Disability	<p>The PAS will provide the capability to record a member's basic qualifications to receive a <b>service connected</b> disability benefit</p> <ul style="list-style-type: none"> <li>The member must be permanently disabled and unable to perform the duties of the member's specific job (as decided and approved by the Board); and</li> <li>The member's disability must be the result of injury or disease arising out of and in the course of the member's employment and such employment must contribute substantially to the member's incapacity (as determined by the Board)</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
501.005	Disability	The PAS will provide the capability for nontechnical staff to set up important documents and events in the disability claim processing and the default timeframes in which those events are due (as in due within 10 days of issue, etc)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
501.006	Disability	The PAS will provide the capability to track the sent dates, received dates, due	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Item detail	Priority	Meets Requirement?
		<p>dates, and other status values of the following documents and events supporting a disability claim, at a minimum</p> <ul style="list-style-type: none"> <li>• Disability Application</li> <li>• Release of Information (signed by member)</li> <li>• Medical records from treating physicians</li> <li>• Meetings and appointment dates</li> <li>• Due dates of correspondence items</li> <li>• Application for Disability</li> <li>• Notices to member</li> <li>• Notices to attorneys</li> <li>• Notices to Plan Sponsor</li> <li>• Recommendation and Findings</li> <li>• Agenda to the Board</li> <li>• Legal Analysis</li> <li>• Formal Letter of Decision</li> <li>• Free-text notes</li> <li>• Hearing s and Requests for Hearings</li> <li>• Board Decisions</li> </ul>		
501.007	Disability	The PAS will provide the capability to add items to the list of documents and events supporting a disability claim.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
501.008	Disability	The PAS will provide the capability to remove items from the list of documents and events supporting a disability claim.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
501.009	Disability	The PAS will provide the capability to issue reminders to FCERA staff of approaching appointment and due dates on the Disability claim processing.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
501.010	Disability	The PAS will provide the capability to alert FCERA when the member's work history involves reciprocity, as reciprocity is a factor in processing the disability claim.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
501.011	Disability	<p>The PAS will provide the capability to generate, at a minimum, the following standard disability-related letters.</p> <ul style="list-style-type: none"> <li>• Letters to doctors</li> <li>• Standard notices to members</li> <li>• Standard notices to attorneys</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Item detail	Priority	Meets Requirement?			
501.012	Disability	The PAS will provide the capability to modify the standard content of disability-related letters generated as needed to support Disability claim processing.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
501.013	Disability	The PAS will provide the capability to export the standard disability-related letters to Microsoft Word (versions 2003 and later) to customize the content for a particular disability situation.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
501.014	Disability	The PAS will provide the capability to create new standard disability-related letters based on existing standard disability letters.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
501.015	Disability	The PAS will provide the capability to add new original standard disability-related letters.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
501.016	Disability	The PAS will provide the capability to delete standard disability-related letters.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
501.017	Disability	The PAS will provide the capability to disallow any type of payment to Active members who have filed a disability claim until the claim is decided (i.e. the member is Active and has been marked as Pending Disability).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
501.018	Disability	The PAS will provide the capability to allow a member to retire on service (if eligible) and receive service retirement benefit payments, pending decision of disability claim.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
501.019	Disability	The PAS will provide the capability to reject and report any incoming Plan Sponsor payroll transactions for members whose disability claim is pending and the member has elected to receive service retirement benefits.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
501.020	Disability	The PAS will provide the capability to convert a member's retirement from service retirement to disability retirement when the disability claim is approved.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>


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501.021	Disability	<p>The PAS will provide the capability to calculate the <b>non-service-connected</b> disability benefit as documented in Article 10 of County Employees Retirement Law of 1937, 2010 Edition.</p> <p>This amount is generally the greater of</p> <ul style="list-style-type: none"> <li>An allowance calculated under a formula based on the based on age, Final Compensation, service credit, and classification (General or Safety), and whether the member must rely on reciprocal service to qualify for the benefit. Or,</li> <li>The member's service retirement allowance if the member is eligible for a service retirement allowance. Or,</li> <li>Reciprocity.</li> </ul>	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
501.022	Disability	<p>The PAS will provide the capability to calculate the <b>service-connected</b> disability benefit as documented in Article 10 of County Employees Retirement Law of 1937, 2010 Edition. The benefit amount is generally equal to the greater of</p> <ul style="list-style-type: none"> <li>One-half of Final Compensation</li> <li>The member's service retirement allowance if the member is eligible for service retirement allowance</li> </ul>	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
501.023	Disability	The PAS will provide the capability to override any disability benefit calculations made by the PAS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
501.024	Disability	The PAS will provide the capability to calculate additional amounts FCERA owes the member at the time of conversion from service retirement to disability retirement.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
501.025	Disability	The PAS will provide the capability to calculate additional amounts the member owes FCERA at the time of conversion from service retirement to disability retirement.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
501.026	Disability	The PAS will provide the capability to override any additional amount owed as calculated by the PAS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
501.027	Disability	The PAS will provide the capability to calculate proper taxability on the <b>non-Service Connected</b> Disability benefit per <b>State</b> regulations (generally <b>non-Service-Connected</b> Disability benefits are taxable).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
501.028	Disability	The PAS will provide the capability to calculate proper taxability on the <b>non-Service Connected</b> Disability benefit per <b>Federal</b> regulations (generally <b>non-Service-Connected</b> Disability benefits are taxable).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			

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501.029	Disability	<p>The PAS will provide the capability to calculate proper taxability on <b>Service Connected</b> Disability benefit per <b>Federal</b> regulations. Generally, for a <b>Service-Connected</b> Disability:</p> <ul style="list-style-type: none"> <li>• If the benefit is one-half of Final Compensation, the benefit is non-taxable</li> <li>• If the benefit is the member's service retirement allowance, up to one-half of final compensation is non-taxable.</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
501.030	Disability	<p>The PAS will provide the capability to calculate proper taxability on <b>Service Connect</b> Disability benefit per <b>State</b> regulations. Generally, for a <b>Service-Connected</b> Disability:</p> <ul style="list-style-type: none"> <li>• If the benefit is one-half of Final Compensation, the benefit is non-taxable</li> <li>• If the benefit is the member's service retirement allowance, up to one-half of final compensation is non-taxable.</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
501.031	Disability	The PAS will provide the capability to override the taxable and non-taxable amounts that were determine by the PAS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
501.032	Disability	The PAS will provide the capability to default the effective date of the disability benefit to either the date of the application or the day after the last day for which the member was compensated, whichever date is later, or to some other default date as determined by FCERA.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
501.033	Disability	The PAS will provide the capability to default the effective date of the disability benefit to the date of conversion from service retirement to disability retirement (assuming the claim is approved and the member elected service retirement pending outcome of the claim) or to some other default date as determined by FCERA.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
501.034	Disability	The PAS will provide the capability for the user to specify the effective date of the disability benefit, overriding any default set by the PAS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO




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## A.12 Death (502)


### A.12.1 Death of Active Member (502)

#### Tools and Eligibility


ReqID	Process	Requirement details	Priority	Meets Requirement?
502.001	Death of Active Member	The PAS will provide context-aware checklist, prompts, and other rules-based tools to assist the Retirement Coordinator in administering the Active Member Death process.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.002	Death of Active Member	The PAS will provide the capability to alter checklists to accommodate changing rules and special circumstances	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.003	Death of Active Member	The PAS will provide the capability to pay eligible survivors a Basic Death Benefit plus a possible continuing benefit following the death of an Active member.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.004	Death of Active Member	The PAS will provide the capability to include lump-sum and continuing monthly benefit payments to the survivor(s) of an active member death in the payroll file to the Bank. (The calculations for these payments are described below.)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.005	Death of Active Member	To accommodate special circumstances, the PAS will provide the capability to manually override calculations and other values associated with processing an Active member death.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.006	Death of Active Member	The PAS will assist the Retirement Coordinator in determining eligibility of the spouse or minor children who survive a member's service-connected death to receive a continuing benefit.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.007	Death of Active Member	The PAS will enforce the following rules regarding survivor eligibility.  A spouse or Registered Domestic Partner of the member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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		<p>A minor child eligible to receive a survivor benefit is an unmarried child (natural or adopted child of the deceased member, or a stepchild living or domiciled with the deceased member at the time of the member's death) under the age of 18. The benefit can be extended until the child turns 22 provided the child remains unmarried and is regularly enrolled as a full-time student in an accredited school, as determined by the Board of Retirement. While the benefit technically is payable to the minor child, the payment is made "on behalf of" the minor to the Guardian of the Estate. In the case of a violent death of a Safety member, the payment is made payable to the guardian of the child, on behalf of the child.</p> <p>An adult child may be named as a beneficiary; however, applicable benefits will depend upon option selected at the time of retirement. Adult children named as beneficiary under the unmodified option are not eligible for a continuance, but will receive a return of remaining contributions, if any, provided there are no minor children eligible for a continuance.</p> <p>When there are multiple children, the guardian must select the same benefit option for all the children. Note that in this scenario, the entire benefit is due to the child or children until the point at which all the children are no longer eligible. For example, if there are two children, and both are eligible for the benefit, the benefit is split between the two children. When one of the children becomes ineligible, the other would receive 100% of the benefit, rather than just 50%.</p> <p>Effective January 1, 2004, persons meeting the requirements established under Family Code 297, etc (Registered Domestic Partners) of the California statutes are provided the same benefits as a spouse. Thus, anytime the word "spouse" is used it also means "registered domestic partner".</p> <p>The term "minor child(ren)" or "dependent child(ren)" refers to biological or adopted children, and step-children domiciled with the member. Biological and adopted children do not have to be domiciled with the member</p>		
502.008	Death of	The PAS will provide context-aware checklists for processing the death of an active	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
	Active Member	<p>member. These checklists will include, at a minimum, the items listed below:</p> <p><b>Information from system required to process the final payment:</b></p> <p>Member/payee name  Member /payee SSN or ID number  Membership Type (Safety, General, tier)  Type of death benefit  Calculation of benefit amount  Membership Status (Active)  Claimant's Statement  Affidavit  Death certificate of Member</p> <p><b>Information needed from Survivors/Beneficiaries if not already present:</b></p> <p>Date of death  Survivor name  Survivor SSN  Relationship  Phone number of Survivor  Survivor address  Marriage certificate. (FCERA will not process the benefit until after it receives a certified copy of the Marriage Certificate.)  Survivor/Beneficiary Birth Certificate</p> <p><b>Documents required from the Survivors/Beneficiaries:</b></p> <p>Guardianship papers, if applicable, and blocked account documentation  Copy of Death certificate  Minor's birth certificate (if Survivor is a minor)  Survivor's birth certificate, if applicable  Copy of Marriage certificate  CA Domestic Partner registration, if applicable  Divorce documents (decree, DRO, etc.)</p>		

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502.009	Death of Active Member	The PAS will provide integration with EDMS to support efficient collection, retrieval, and examination of documents that support active member death processing.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

### Basic Death Benefit Calculation


ReqID	Process	Requirement details	Priority	Meets Requirement?
502.010	Death of Active Member	<p>The PAS will calculate the Basic Death Benefit available to the survivors of an Active deceased member as follows:</p> <p>The member's accumulated contributions plus interest, plus</p> <p>An amount equal to one-twelfth of the annual compensation earnable by the deceased during the 12 months immediately preceding his death, multiplied by the number of completed years of service under the FCERA, but not to exceed 50% of <b>annual compensation earnable at the time of death.</b></p>	1	<input type="checkbox"/> YES <input type="checkbox"/> NO

### Service-connected Death of a General Member before Retirement

ReqID	Process	Requirement details	Priority	Meets Requirement?
502.011	Death of Active Member	The PAS will provide the capability to designate a death of an active General member as <b>service-connected</b> .	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.012	Death of Active Member	The PAS will provide the capability to pay the Basic Death Benefit to the eligible spouse or beneficiaries of an active <b>General member's service-connected death</b> . There is no vesting requirement for the Basic Death Benefit in the case of a service-connected death.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
502.013	Death of Active Member	The PAS will assist the Retirement Coordinator in determining eligibility of the spouse or minor children who survive a General member's service-connected death to receive a continuing benefit.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.014	Death of Active Member	For the eligible surviving spouse of a General member's service-connected death, the PAS will calculate a continuing monthly benefit equal to 100% of either a service connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. Service-connected continuing benefit is based only on the final compensation of the deceased member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.015	Death of Active Member	For eligible alternate payees, the PAS will provide capability to split the Basic Death Benefit and/or the continuing benefit according to court order, provided the deceased member was eligible for retirement. If the member was not eligible for retirement at the time of death, then alternate payees are not entitled to any portions of the benefits until the member would have become eligible for retirement, unless otherwise agreed by the parties to the DRO.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.016	Death of Active Member	The PAS will provide the capability to pay eligible minor children a continuing monthly benefit equal to 100% of either a service connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. Service-connected continuing benefit is based only on the final compensation of the deceased member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.017	Death of Active Member	The PAS will provide the capability to pay the eligible minor child the continuing benefit up to age 18, or age 22 as long as the child remains a full time student and unmarried.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.018	Death of Active Member	The PAS will provide a capability that reminds FCERA to verify a child's eligibility at certain dates.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.019	Death of Active Member	The PAS will provide the capability to stop the continuance to a minor child when the child becomes ineligible.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.020	Death of Active Member	The PAS will issue payments to a minor child to a blocked deposit account that is under control of Court until the child reaches age 18.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
502.021	Death of Active Member	The PAS will enforce the rule that an ex-spouse has no right to the minor child benefit.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.022	Death of Active Member	If the deceased member was not married and had no minor children, the PAS will split and pay to beneficiaries on file a lump sum distribution of deceased member's Basic Death Benefit, and Contributions plus interest. If the beneficiaries are not documented, the PAS will make the payment to the member's Estate.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

### Non-Service connected Death of a General or Safety Member before Retirement


ReqID	Process	Requirement details	Priority	Meets Requirement?
502.023	Death of Active Member	The PAS will provide the capability to designate a death of an <b>active</b> General or Safety member as <b>non service-connected</b> .	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.024	Death of Active Member	The PAS will provide the capability to pay the Basic Death Benefit to the eligible spouse or beneficiaries of a <b>General or Safety member's active non- service-connected death</b> .	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.025	Death of Active Member	<p>If the active General or Safety member who has died of a <b>non-service connected</b> cause had at least five years of service (excluding any public service credit purchased, but including reciprocal service), the PAS will provide the capability for the member's surviving spouse to elect to receive one of the three benefits listed below, or the member's dependent child(ren) will receive either of the first two benefits listed below as elected by the guardian of the child(ren):</p> <ol style="list-style-type: none"> <li>1. Basic death benefit as described above</li> <li>2. Continuing monthly benefit equal to 60% of either a non-service connected disability retirement allowance or a service retirement allowance (provided the member met the requirements for retirement prior to death) whichever is greater. (Note: The calculation of the non-service connected disability allowance is described in the Disability process document. The calculation of the service retirement allowance is described in the Retirement Benefit Options process document. )</li> </ol>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
		3. Basic Death Benefit plus a reduced continuing monthly benefit as calculated by the Actuary.		
502.026	Death of Active Member	If the deceased active General or Safety member who died of <b>non-service connected</b> cause was not married, had no minor children, or did not have at least five years of service, the PAS will split the basic death benefit and a lump sum distribution of deceased member's contribution plus interest to the beneficiaries on file. If there are no beneficiaries documented, the PAS will make the payment to the member's Estate.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.027	Death of Active Member	If the deceased active General or Safety member who died of <b>non-service connected</b> cause had less than five years of service (excluding any public service credit purchased, and including reciprocal service) or the member's survivor is not the member's surviving spouse or dependent child(ren), the PAS will provide the capability to pay the member's survivor the basic death benefit and a lump sum distribution of deceased member's Contributions plus interest.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


### Death of a Safety Member before Retirement

ReqID	Process	Requirement details	Priority	Meets Requirement?
502.028	Death of Active Member	The PAS will provide the capability to designate a death of an active <b>safety</b> member as <b>non-violent service-connected</b> .	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.029	Death of Active Member	The PAS will provide the capability to designate a death of an active <b>safety</b> member as <b>violent service-connected</b> .	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
502.030	Death of Active Member	<p>The PAS will provide the capability to pay the surviving spouse of an active <b>Safety member who died a non-violent service connected death</b> one of the three benefits listed below:</p> <p>The Basic Death Benefit.</p> <p>A continuing monthly benefit equal to 100% of either a service connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. Service connected death benefit is based on final compensation only.</p> <p>The Basic Death Benefit plus a reduced continuing monthly benefit, as calculated by the Actuary</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.031	Death of Active Member	<p>If the Safety member who died of a <b>non-violent service connected death</b> had alternate payees, the PAS will split the benefit according to court order provided the deceased member was eligible for retirement. If the Safety member was not eligible for retirement at the time of service connected non-violent death, then alternate payees are not entitled to any portion of the benefit until the member would have become eligible for retirement</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.032	Death of Active Member	<p>Where there is no surviving spouse, the PAS will provide the capability to allow the surviving dependent child(ren) of a Safety member who died of a <b>non-violent service-connect death</b> to receive the benefits listed below:</p> <p>The Basic Death Benefit.</p> <p>A continuing monthly benefit equal to 100% of either a service connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. Service connected death benefit is based on final compensation only.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO




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ReqID	Process	Requirement details	Priority	Meets Requirement?
502.033	Death of Active Member	<p>In the case of a <b>violent death of a Safety Member</b>, the PAS will provide the capability to pay the surviving spouse and dependent child(ren) the benefits listed below:</p> <p>The Basic Death Benefit.</p> <p>A continuing monthly benefit equal to 100% of either a service connected disability retirement allowance or a service retirement (provided the member met the requirements for retirement prior to death), whichever is greater. Service-connected death benefit is based on final compensation only.</p> <p>A one-time lump-sum benefit equal to the annual compensation earnable by the deceased at his or her monthly rate of compensation at the time of his or her death.</p> <p>The Basic Death Benefit plus a reduced continuing monthly benefit, as calculated by the Actuary</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.034	Death of Active Member	<p>If the deceased Safety Member who died of a <b>violent service-connect death</b> had no spouse and there are no minor children, the PAS will provide the capability to split a lump sum payment of deceased member's Basic Death Benefit to the beneficiaries on file. If the split to the beneficiaries is not documented, the payments will be determined by the Estate.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

### A.12.2 Death of Deferred Member (502)

ReqID	Process	Requirement details	Priority	Meets Requirement?
502.041	Death of Deferred Member	The PAS will provide the capability to process the death of a deferred member.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.042	Death of Deferred Member	The PAS will provide the capability to determine the deferred member classification (General or Safety).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
502.043	Death of Non-Member	The PAS will consider “domestic partnership”, “registered domestic partner”, and “spouse” to be equal and synonymous.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.044	Death of Deferred Member	The PAS will apportion the deceased deferred member’s contributions plus interest to survivor and/or beneficiaries. The sum of the apportions will not exceed 100% of the total benefit.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.045	Death of Deferred Member	The PAS will pay the deceased deferred member’s contributions plus interest to the member’s Estate, if there are no survivors/beneficiaries.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.046	Death of Deferred Member	The PAS will provide the capability for FCERA to approve the distributions prior to the transactions being sent to the Bank for payment.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.047	Death of Deferred Member	The PAS will provide the capability to alert FCERA when 5 years have passed since the last communication with the member’s survivors/beneficiaries.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.048	Death of Deferred Member	The PAS will provide manual override capability on all data fields relevant to process deferred member deaths.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.049	Death of Deferred Member	<p>The PAS will provide context-aware checklists for processing the death of a deferred member. These checklists will include, at a minimum, the items listed below:</p> <p><b>Information from system required to process benefit:</b></p> <p>Member/payee name  Member /payee SSN  Membership Type (Safety, General)  Type of death benefit  Calculation of benefit amount  Membership Status</p> <p><b>Information needed from beneficiary if not already present:</b></p> <p>Date of death  Beneficiary name  Beneficiary SSN  Relationship</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
		Beneficiary address  <b>Documents required from the beneficiary:</b>  Guardianship papers, if applicable Certified copy of Death certificate Minor's birth certificate (if beneficiary is a minor) Beneficiary's birth certificate, if applicable Copy of Marriage certificate CA Domestic Partner registration, if applicable		
502.050	Death of Deferred Member	The PAS will provide integration with EDMS to support efficient collection, retrieval, and examination of documents that support deferred member death processing.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.051	Death of Deferred Member	The PAS will provide the capability to tailor the content of the death processing checklists for deferred members.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.052	Death of Deferred Member	The PAS will provide the capability to manually override the calculated payment amounts to survivor/beneficiaries, along with other values, to accommodate special situations.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

### A.12.3 Death of Non-Member (502)

ReqID	Process	Requirement details	Priority	Meets Requirement?
502.061	Death of Non-Member	The PAS will provide the capability to process the death of a non-member payee.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.062	Death of Non-Member	The PAS will provide the capability for FCERA to determine whether the non-member payee was a spouse, a spouse with minor children, a spouse only, an alternate payee from a DRO, or some other type of beneficiary.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.063	Death of Non-Member	The PAS will consider "domestic partnership", "registered domestic partner", and "spouse" to be equal and synonymous.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
502.064	Death of Non-Member	The PAS will provide the capability for FCERA to redirect payments from a deceased alternate payee to payee(s) specified in the DRO.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.065	Death of Non-Member	The PAS will allow continuance payments to continue to the Estate of a former spouse as long as the member is alive. Assuming the member did not take Option 4, the payments will continue to the Estate of the former spouse as long as the member is alive. If Option IV was elected, the payment stream on behalf of the alternate payee ceases at the death of the alternate payee.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.066	Death of Non-Member	<p>The PAS will provide checklists to assist in the collection of required documentation when the deceased was the spouse of an active member with minor children:</p> <p>Letter of guardianship of the minor child's Estate  Direct Deposit form to the minors' blocked accounts  Tax Withholding  Death certificate the deceased  Birth certificate of the minor child(ren)</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.067	Death of Non-Member	<p>The PAS will provide checklists to assist in the collection of documents and information supporting the process of a non-member payee death:</p> <p>Payee name  Payee SSN  Membership Type (Safety, General)  Affidavit  Death certificate of deceased non-member  Claimant's Statement  Tax withholding information, if applicable</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.068	Death of Non-Member	The PAS will calculate continuance due to minor children.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.069	Death of Non-Member	The PAS will provide the capability to link the deceased's name, and the names of minor children if any, to the account of the original member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.070	Death of Non-Member	The PAS will provide the capability to calculate final days' payment due to the deceased spouse's estate, the minor children's estate, or the deceased ex-spouse's estate.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
502.071	Death of Non-Member	The PAS will prevent a payment from being made directly to the beneficiary of a non-member payee. The payments will go to the estate of the deceased.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.072	Death of Non-Member	The PAS will provide the capability to stop further monthly continuance payments to the estate of the ex-spouse upon the death of the current spouse unless the ex-spouse is named as a beneficiary or the member elected Option 4 naming the ex-spouse as the alternate payee.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.073	Death of Non-Member	The PAS will provide the capability to stop further monthly continuance benefits upon the death of the member's spouse/registered domestic partner, or upon death or ineligibility of minor children because of age or change in student/marital status, unless an alternate payee is named as a beneficiary or an Option IV was selected naming the alternate payee.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.074	Death of Non-Member	The PAS will provide the capability for FCERA to reclaim unclaimed benefits payable to the estates of deceased beneficiaries after 5 years.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.075	Death of Non-Member	The PAS will provide the capability for FCERA to reclaim unclaimed benefits payable to deceased beneficiaries after 5 years.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.076	Death of Non-Member	The PAS will calculate taxable and non-taxable portions of benefits properly.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.077	Death of Non-Member	The PAS will provide integration with EDMS to support efficient collection, retrieval, and examination of documents that support non-member death processing.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.078	Death of Non-Member	The PAS will provide the capability to manually override calculations and other information pertaining to the death of a non-member payee.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

#### A.12.4 Death Notification (502)


ReqID	Process	Requirement details	Priority	Meets Requirement?
502.091	Death Notification	The PAS will provide the capability to review the deceased's records at FCERA in support of processing the death.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.092	Death Notification	The PAS will provide the capability to determine the deceased's status with FCERA.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
502.093	Death Notification	The PAS will provide the capability to mark a member as deceased.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.094	Death Notification	The PAS will provide the capability to mark a non-member payee as deceased.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.095	Death Notification	The PAS will provide the capability to initiate death processing based on the member's status within FCERA.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.096	Death Notification	The PAS will provide the capability to initiate death processing on a non-member payee within FCERA.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.097	Death of Non-Member	The PAS will consider “domestic partnership”, “registered domestic partner”, and “spouse” to be equal and synonymous.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.098	Death Notification	The PAS will provide context-aware checklists for processing the death of a member. The content of the checklists will be appropriate to the member's status, classification, marital status, and other information about the member that may be contained in the PAS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.099	Death Notification	The PAS will provide context-aware checklists for processing the death of non-member payee. The content of the checklists will be appropriate to the non-member payee's relationship to the linked member and other information about the non-member payee that may be contained in the PAS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.100	Death Notification	The PAS will provide the capability to tailor the content of the death processing checklists.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

### A.12.5 Death of Retired Member (502)

ReqID	Process	Requirement details	Priority	Meets Requirement?
502.111	Death Retired Member	The PAS will provide the capability to ensure the correct and timely payment of benefits due to the beneficiaries of a deceased retired member.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.112	Death Retired Member	The PAS will provide the capability to instruct the Bank to terminate payments to the deceased member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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ReqID	Process	Requirement details	Priority	Meets Requirement?
502.113	Death of Retired Member	The PAS will consider “domestic partnership”, “registered domestic partner”, and “spouse” to be equal and synonymous.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.114	Death Retired Member	The PAS will provide the capability to administer the correct and timely return of any benefits overpaid to the deceased member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.115	Death Retired Member	The PAS will provide the capability to administer the correct and timely payment of any benefits underpaid to the deceased member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.116		The PAS will provide the capability to calculate the continuance amount to the beneficiaries.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.117	Death Retired Member	The PAS will provide the capability to include the deceased retired member in a Death Report.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.118	Death Retired Member	<p>The PAS will provide context-aware checklists to assist in the collection of information and documents supporting the process of a retired member death.</p> <p>Information from system required to process the final payment:  Member/payee name  Member /payee SSN or ID number  Membership Type (Safety, General)  Type of death benefit  Calculation of benefit amount  Membership Status (Retired)  Suspension of retiree payroll setup  Marriage Certificate</p> <p>Information needed from beneficiary(ies) if not already present:  Date of death of retiree  Beneficiary name  Beneficiary SSN  Beneficiary Relationship  Birth Certificate of beneficiaries  Beneficiary address  Beneficiary age</p> <p>Documents required from the beneficiary:  Guardianship papers, if applicable</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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		Copy of Death certificate Minor’s birth certificate (if beneficiary is a minor) Beneficiary’s birth certificate, if applicable Copy of Marriage certificate CA Domestic Partner registration, if applicable  Information provided to beneficiary: Direct deposit form, if there’s a continuance Federal and State Tax withholding forms for Final Days payment Request for death certificate If no marriage certificate is on file, then a request for this document Request for birth certificate of the beneficiary(ies), if not on file								
502.119	Death Retired Member	The PAS will provide the capability to include the beneficiary payee(s) to the payroll interface file that will be sent to the Bank.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO						
502.120	Death Retired Member	The PAS will calculate taxability of payments to beneficiaries properly. All FCERA benefits are taxable except for a service-connected disability retired death, in which case a portion of the continuance and COLA is non-taxable, while the Supplemental Benefit and both types of the Health Benefits are taxable. For service-connected disability retirement, the continuance payments to the eligible spouse retain the same taxability as the retiree’s taxability, whereas the continuance payments to alternate payees will be taxable.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO						
502.121		<div>The PAS will calculate Final Days Payment as a pro-ratation of the deceased member’s retirement benefit based on the number of days alive in the final month. An example is shown below:</div> <table><tr><td>Day of Month the member died:</td><td>9</td></tr><tr><td>Divided by Number of days in the month the member died: (28, 29, 30, or 31, depending on the month the member died)</td><td>31</td></tr><tr><td>Multiplier (rounded to 4 digits after decimal)</td><td>0.2903</td></tr></table> <div>The resulting multiplier is applied to the various components of the monthly benefit, as shown in the example below, to calculate the Final Days payment.</div>	Day of Month the member died:	9	Divided by Number of days in the month the member died: (28, 29, 30, or 31, depending on the month the member died)	31	Multiplier (rounded to 4 digits after decimal)	0.2903	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
Day of Month the member died:	9									
Divided by Number of days in the month the member died: (28, 29, 30, or 31, depending on the month the member died)	31									
Multiplier (rounded to 4 digits after decimal)	0.2903									




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			Monthly Benefit Amount		% factor		Partial Payment for Days Alive in Month		
		Annuity	\$144.13	X	.2903	=	\$41.84		
		Current Service	\$283.46	X	.2903	=	\$82.29		
		Supp Benefit	\$180.00	X	.2903	=	\$52.25		
		COL	\$264.23	X	.2903	=	\$76.71		
		Sup COL	\$0	X	.2903	=	\$0.00		
		VS Health Benefit	\$60.00	X	.2903	=	\$17.42		
		Board of Retirement non-vested Health Benefit	\$100.00	X	.2903	=	\$29.03		
502.122	Death Retired Member	The PAS will provide the capability for FCERA to modify death benefit calculations without reprogramming the product.						2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.123	Death Retired Member	The PAS will provide the capability for multiple beneficiaries to receive a portion of the Final Days payment, based on the percentage stated on the beneficiary form. The sum of the portions paid to multiple beneficiaries will not exceed 100% of the total amount.						2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.124	Death Retired Member	<p>The PAS will calculate the retired member's beneficiaries' benefits based on the Retirement Benefit Option that the member chose during retirement processing.</p> <p><b>Unmodified Option</b></p> <p>A 60% continuing monthly benefit to your spouse or registered domestic partner, if the deceased member was married for at least one year immediately preceding the member's retirement date or married for at least 2 years after retirement and the member's spouse or registered domestic partner is at least 55 years of age.</p> <p>A 100% continuing monthly benefit to the deceased member's spouse or registered domestic partner, if the member was receiving a service connected disability retirement allowance and the member was married when the member became</p>						2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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		<p>disabled.</p> <p>If the deceased member did not have a surviving spouse or registered domestic partner, or if the surviving spouse or registered domestic partner dies, the continuing monthly benefit will be paid collectively to the member's dependent children until the last child marries, reaches age 18 (age 22 if a full-time student in an accredited school) or dies, whichever comes first.</p> <p>If the deceased member's spouse or registered domestic partner dies before the member or if the member does not have an eligible spouse, registered domestic partner or dependent child (ren), a continuing monthly benefit is not available. This option then provides for a lump sum payment to the member's named beneficiary or the member's Estate of any balance remaining from the member's accumulated contributions less the sum of monthly annuity payments received by the member before death.</p> <p><b>Option 1</b> A lump sum payment to the member's beneficiary of any balance remaining from the member's accumulated contributions less the sum of monthly retirement payments received by the member before death.</p> <p><b>Option 2</b> A 100% continuing monthly benefit to the member's beneficiary.</p> <p><b>Option 3</b> A 50% continuing monthly benefit to the member's beneficiary.</p> <p><b>Option 4</b> "Basic Option 4" as defined by the Board of Retirement is one which provides equal continuing benefits to more than one beneficiary or is required in order to implement a court-approved Domestic Relations Order.</p> <p>There is no reversion to the remaining beneficiaries should they predecease one another.</p>		


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		<p>Election of the "Basic Option 4" benefit as defined above does not require additional approval by the Board of Retirement; however, any other retirement benefit option must be approved by the Board of Retirement.</p> <p>There is no opportunity to change the member's named beneficiaries after retirement should the beneficiaries die before the member</p>		
502.125	Death Retired Member	The PAS will include the full amount of the vested and non-vested Health Benefit regardless of the Retirement Benefit Option the member chose during retirement processing.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.126	Death Retired Member	The PAS will provide context-aware checklists and automated workflow to assist in the processing of death events without the need to use Excel or other outside tools.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.127	Death Retired Member	The PAS will provide the capability for FCERA to modify the checklists as necessary to accommodate special circumstances.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.128	Death Retired Member	The PAS will allow a continuance to be calculated only for a living person and paid only to a living person or to the estate of the deceased member. (With a DRO, the community property share may continue to the estate of the non-member so long as there is a stream of payments on behalf of the member.)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.129	Death Retired Member	The PAS will stop monthly continuance benefits upon death of a member's spouse/registered domestic partner or upon death of the beneficiary.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
502.130	Death Retired Member	The PAS will provide manual override to all calculations and other values associated with retired member death processing, to accommodate DROs and other special circumstances.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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### A.13 COLA Adjustments (503)


ReqID	Process	Requirement details	Priority	Meets Requirement?			
503.001	COLA Adjustments	The PAS will provide capabilities to automate the calculation and application of COLA adjustments on payees' retirement benefit, as approved by the Board.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
503.002	COLA Adjustments	<p>The PAS will calculate COLA Adjustment per the following rules.</p> <p>The COLA Adjustment is effective on April 1 of each year after the member retires.</p> <p>New retirees are eligible for the COLA Adjustment if they have retired on or before April 1st in the current year. All existing retirees are eligible annually.</p> <p>The COLA Adjustment is calculated in the accordance with the change in the annual Consumer Price Index (CPI) for the Western Region of the United States.</p> <p>The current maximum COLA increase in any year is 3%.</p> <p>There is no minimum, thus the COLA can be negative.</p> <p>Any change in the annual CPI in excess of 3% is held in a 'COLA bank' and applied to the COLA Adjustment for a future year when the annual CPI is less than 3%. The COLA bank is replenished by excess CPI in future years. The COLA bank can be added to and subtracted from as needed and can hold a negative balance.</p> <p>If the approved annual COLA rate is negative, the PAS will:</p> <p>For existing retirees, the PAS will start reducing the retired member's COLA bank until the retired member's COLA bank balance reaches zero.</p> <p>When the COLA bank reaches zero, then the PAS will start reducing the COLA</p>	3	<div>1</div> <input type="checkbox"/>	<div>2</div> <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	<div>3</div> <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	<div>4</div> <input type="checkbox"/>

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		<p>Benefit amount accumulated on the retired member's account, until that is zero. When the COLA Benefit becomes zero, then the PAS will reduce the COLA bank balance to be negative. For a new retiree who has no COLA Benefit amount to reduce, the retiree's COLA bank could become negative in the first year.</p> <p>The member's base retirement benefit amount is never affected by COLA Adjustment calculations.</p> <p>When the approved COLA rate is again positive, the PAS will eliminate any negative balance in the retiree's COLA bank before providing additional COLA benefit.</p>					
503.003	COLA Adjustments	The PAS will provide the capability to maintain as separate values the amount for the basic retirement benefit (taxed and taxable) and the amount for the Temporary Annuity Option.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
503.004	COLA Adjustments	The PAS will apply the COLA Adjustment to the base retirement benefit amount, including previous accumulated COLA Adjustment amounts.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
503.005	COLA Adjustments	The PAS will apply the COLA Adjustment to the Temporary Annuity Option amount, including previous accumulated COLA Adjustment amounts.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
503.006	COLA Adjustments	The PAS will provide the capability to differentiate taxable disability benefits from non-taxable disability benefits on new retiree accounts.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
503.007	COLA Adjustments	The PAS will provide the capability to differentiate taxable disability benefits from non-taxable disability benefits on existing retiree accounts.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
503.008	COLA Adjustments	The PAS will apply a non-taxable COLA adjustment to non-taxable disability benefits.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>

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503.009	COLA Adjustments	The PAS will apply a taxable COLA adjustment to taxable disability benefits.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
503.010	COLA Adjustments	The PAS will provide the capability to automate the calculation of COLA Adjustments for conversions from service retirement to non-service connected disability retirement.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
503.011	COLA Adjustments	The PAS will provide the capability to automate the calculation of COLA Adjustments for conversions from service retirement to service-connected disability retirement.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
503.012	COLA Adjustments	The PAS will provide the capability for non-technical staff to manually override COLA Adjustment calculations on <b>individual</b> eligible accounts.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
503.013	COLA Adjustments	The PAS will provide the capability for non-technical staff to manually override COLA Adjustment calculations on a <b>list</b> of eligible accounts meeting certain criteria.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
503.014	COLA Adjustments	The PAS will provide the capability for non-technical staff to manually override COLA Adjustment calculations on <b>all</b> eligible accounts.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
503.015	COLA Adjustments	The PAS will provide the capability to manually override the effective date of the increase resulting from the COLA Adjustment.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
503.016	COLA Adjustments	The PAS will provide the capability for FCERA to review the COLA Adjustment calculation results prior to the PAS applying adjustment transactions to the retirees' accounts.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			


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503.017	COLA Adjustments	The PAS will provide the capability for non-technical staff to apply COLA Adjustments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
503.018	COLA Adjustments	The PAS will provide the capability to automate the administration of the COLA bank.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
503.019	COLA Adjustments	The PAS will provide the capability to allow manual entries in the COLA bank when necessary.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
503.020	COLA Adjustments	The PAS will provide the capability to automate the calculation and applying of the Supplemental COLA Adjustment, when approved by the Board.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
503.021	COLA Adjustments	<p>The PAS will calculate Supplemental COLA Adjustments amounts according to the following rules:</p> <ol style="list-style-type: none"> <li>Regular COLA Adjustments must be calculated prior to Supplemental COLA.</li> <li>The Board approves the providing of the Supplemental COLA by authorizing funding for the benefit.</li> <li>The calculation is as follows: <ul style="list-style-type: none"> <li>For any type of Retirement before January 1, 2001: (annuity plus current service plus supplemental benefit plus COLA) times (COLA bank for year of retirement -25%) equals Supplemental COLA</li> <li>For Service retirement and non-service connected disability on or after January 1, 2001: (annuity plus current service plus supplemental annuity plus COLA) times (COLA bank for year of retirement -25%) equals Supplemental COLA</li> <li>For Service Connected Disability on or after January 1, 2003: (taxable annuity plus taxable current service plus taxable supplemental annuity plus taxable COLA) times (COLA bank for year of retirement - 25%) equals taxable Supplemental COLA</li> <li>(non-taxable annuity plus non-taxable current service plus non- taxable supplemental annuity plus non-taxable COLA) times (COLA bank for year of retirement -25%) equals non-taxable Supplemental COLA</li> <li>For Temporary Annuity Option after July 1, 2006: (annuity plus current service plus supplemental annuity plus COLA) times (COLA bank for year of retirement - 25%) equal Supplemental COLA adjustment</li> </ul> </li> </ol>	3	<div>1</div> <input type="checkbox"/>	<div>2</div> <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	<div>3</div> <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	<div>4</div> <input type="checkbox"/>

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		<p>(TAO annuity plus TAO current service plus TAO supplemental annuity plus TAO COLA) times (COLA bank for year of retirement - 25%) equals TAO Supplemental COLA. (Note: This calculation would be rare as it would require high levels of inflation over a short period of time.)</p> <p>4. Supplemental COLA does not affect the members' COLA bank. It can be viewed as a 'bonus' to the members receiving retirement benefits in that year.</p> <p>5. Whereas regular COLA Adjustments draw upon the member's COLA bank to allow 3%, Supplemental COLA is a calculated dollar amount funded from excess earnings.</p>		
503.022	COLA Adjustments	The PAS will provide the capability for non-technical staff to manually override Supplemental COLA Adjustment calculations on <b>individual</b> eligible accounts.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
503.023	COLA Adjustments	The PAS will provide the capability for non-technical staff to manually override the Supplemental COLA Adjustment calculations on a <b>list</b> of eligible accounts meeting certain criteria.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
503.024	COLA Adjustments	The PAS will provide the capability for non-technical staff to manually override Supplemental COLA Adjustment calculations on <b>all</b> eligible accounts.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
503.025	COLA Adjustments	The PAS will provide the capability to manually override/correct the effective date of the Supplemental COLA Adjustment.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
503.026	COLA Adjustments	The PAS will provide the capability for FCERA to review the Supplemental COLA Adjustment calculation results prior to the PAS applying the adjustment transactions to the retirees' accounts.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
503.027	COLA Adjustments	The PAS will provide the capability for non-technical staff to apply Supplemental COLA Adjustments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO




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## A.14 Deferred Retirement (505)


ReqID	Process	Requirement details	Priority	Meets Requirement?
505.001	Deferred Retirement	The PAS will provide the capability to process a terminated employee who elects deferred retirement.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
505.002	Deferred Retirement	The PAS will provide data fields into which FCERA can enter information about the agency where the member established reciprocity	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
505.003	Deferred Retirement	The PAS will provide the capability to identify terminated members automatically based on information in the payroll data from Plan Sponsors (PSBiweekly from County. Manual entry or spreadsheet data from Districts).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
505.004	Deferred Retirement	The PAS will provide the capability, using user-definable rules, to set the member's account status automatically to Suspense for a vested termination having no Disposition Form on file.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
505.005	Deferred Retirement	The PAS will provide the capability, using user-definable rules, to set the member's account status automatically to Inactive for a non-vested termination having no Disposition Form on file.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
505.006	Deferred Retirement	<p>The PAS will qualify a <b>vested</b> member (having at least 5 years of service including reciprocal time, but excluding any public service credit purchased) as eligible for deferred retirement. The member will be eligible to receive the FCERA retirement benefit when one of the two conditions listed below occurs:</p> <ol style="list-style-type: none"> <li>Contributions have been on deposit for 10 years total and the member is at least age 50; or</li> <li>Member is eligible for service retirement (as documented elsewhere in the Retirement process)</li> </ol>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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505.007	Deferred Retirement	<p>The PAS will qualify a <b>non-vested member</b> (having less than 5 years of service credit, including reciprocal time but excluding any public service credit purchased) as eligible for deferred retirement if one of the following applies:</p> <ol style="list-style-type: none"> <li>Member chooses to leave contributions and interest on deposit at FCERA until the member is age 70, at which time the member is eligible to receive a retirement benefit regardless of years of service. Or, the member may withdraw contributions and interest.</li> <li>Member establishes reciprocity within six months after the date of terminating with the FCERA. The member may not cancel the deferred retirement or withdraw contributions while a member of a reciprocal agency. If an FCERA employer is the member's last employer, the member is permitted to cancel a deferred retirement and withdraw contributions plus interest. Canceling a deferred retirement election requires Board approval. <ol style="list-style-type: none"> <li>The reciprocal deferred member may be eligible for a FCERA retirement benefit when the member's contributions have been on deposit for a minimum of ten years.</li> <li>The reciprocal deferred member may begin receiving monthly retirement allowance at any time the member would have been eligible for a service retirement had the member remained in service with FCERA. Reciprocity is not broken if the member retirees under FCERA eligibility and keeps working to meet the retirement age eligibility requirements of the reciprocal agency. That is, the member can receive a retirement benefit from FCERA while working to meet the age eligibility of the reciprocal agency.</li> </ol> </li> <li>Member does not establish reciprocity. If a member has not established reciprocity with a reciprocal agency, the PAS will allow the member to cancel the deferred retirement election and withdraw all contributions plus interest any time before the member begins receiving FCERA retirement benefits. Canceling a deferred retirement election requires Board approval.</li> </ol>	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>


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505.008	Deferred Retirement	The PAS will maintain the member in deferred retirement status until one of the following events occurs: 1. the member contacts FCERA to begin receiving retirement benefits, or 2. the member changes the previous decision to defer retirement. Canceling a deferred retirement requires Board approval.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
505.009	Deferred Retirement	The PAS will provide manual override of business rules to accommodate status changes and special circumstances.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
505.010	Deferred Retirement	The PAS will include reports and/or alerts to identify when a member is age 70, and living, and in deferred retirement status.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
505.011	Deferred Retirement	The PAS will provide the capability to generate a Reciprocity Denied/Confirmed Letter when the member's request for reciprocity has been decided.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
505.012	Deferred Retirement	The PAS will provide the capability to generate a Termination Letter to the member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
505.013	Deferred Retirement	The PAS will provide the capability to generate a Request for Disposition of Funds Form to the member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
505.014	Deferred Retirement	The PAS will provide the capability to generate an Activity Report.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
505.015	Deferred Retirement	The PAS will provide the capability to generate a Terminations Report.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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## A.15 Member Counseling (506)

ReqID	Process	Requirement details	Priority	Meets Requirement?
506.001	Member Counseling	The PAS will provide tools, reports, scheduling, and other capabilities to assist FCERA is preparing members for retirement decisions.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
506.002	Member Counseling	The PAS will generate the Retirement Checklist to aid the Retirement Coordinator in planning the counseling sessions.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
506.003	Member Counseling	The PAS will provide capabilities to allow FCERA to identify which members are within FCERA-specified time windows of retirement on an ongoing basis. The members of most concern are those who have recently vested, those who have 10 years in the system, and those who are within in a FCERA-specified number of years of retirement. Tools such as reports with flexible inputs, automatic reminders, or other alerting mechanisms to identify these members are potential solutions to this requirement.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
506.004	Member Counseling	The PAS will provide the capability for the Retirement Coordinator to write file notes in an electronic document management system for topics that were discussed in the counseling session, and then to access the notes from the PAS system in the context of the member's account.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
506.005	Member Counseling	The PAS will provide the capability for the Retirement Coordinator to follow up with the member by sending a general correspondence letter to restate any important points that were discussed in the session.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
506.006	Member Counseling	The PAS will prompt the user to choose whether the dates entered on the most recent (or other) Estimate should be used on the application. If the answer is yes, the PAS will populate the Application with the dates from the chosen Estimate. If the answer is no, the Retirement Coordinator will enter the desired dates on the application. Answering no and entering custom dates on the Application will not affect the dates on any Estimate generated previously.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
506.007	Member Counseling	The PAS will generate letters to the reciprocal agencies relevant to the member using data from the PAS to populate the content of the letter.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
506.008	Member Counseling	The PAS will suggest retirement dates and other strategies to maximize the member's retirement benefit, given all the information that the PAS knows about the member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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ReqID	Process	Requirement details	Priority	Meets Requirement?
506.009	Member Counseling	The PAS will examine the member's history and infer whether a service purchase would be a strategy for the member to maximize retirement benefit. If appropriate, the PAS will present the purchase strategies and their associated costs. The factors to consider are listed below. Items a, b, c can indicate a break in service and therefore an opportunity for a service purchase. a. LOA Medical b. FMLA c. Military Leave d. Public Service e. Reciprocity from another agency(s) f. Extra Help time g. Redeposit	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
506.010	Member Counseling	The PAS will infer from the member's history and electronic documents on file whether the member needs to produce further documents such as Marital Dissolution papers, Marriage certificate, Death certificate of spouse, Birth Certificates, etc.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
506.011	Member Counseling	The PAS will provide the capability to convert the member's remaining annual leave, including sick leave and time off, to service credit using biweekly, semimonthly or monthly calculations as appropriate for the member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
506.012	Member Counseling	The PAS will provide reminders to the Retirement Coordinator when a new Estimate needs to be prepared: a) at the time the Retirement Option forms are generated b) at the time the member's file is prepared for retiree payroll c) when any adjustment is prepared	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
506.013	Member Counseling	The PAS will ensure the Termination Date and Retirement Date shown on the Application equal the dates on the Retirement Options sheet (not the Estimate) presented to the member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
506.014	Member Counseling	The PAS will prohibit the member from purchasing LOA Personal time toward retirement qualification.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
506.015	Member Counseling	The PAS will allow the member to purchase Extra Help time toward the vesting requirement.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
506.016	Member Counseling	The PAS will allow the member to purchase the first two weeks of employment from when the member was a new hire (contributions to FCERA do not start until the second payroll cycle).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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## A.16 Interest Posting (508)

ReqID	Process	Requirement detail	Priority	
508.001	Interest Posting	FCERA requires the PAS to provide an automated capability to calculate and post semi-annual interest to members' accounts.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.002	Interest Posting	The PAS will provide reports to validate member account balances as of a user-specified date prior to calculating semi-annual interest on the account.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.003	Interest Posting	The PAS will provide reports to validate member account statuses as of a user-specified date prior to calculating interest on the account.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.004	Interest Posting	The PAS will validate that all active payroll contributions required to calculate interest for the interest period have been processed.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.005	Interest Posting	The PAS will provide the capability to enter the approved annualized interest rate for member contributions. Currently, the annual interest rate is approved on April 1 each year.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.006	Interest Posting	The PAS will provide the capability to change the approved annual rate each sixth month period. While this is not current practice at FCERA, it may need to be accommodated in the future.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.007	Interest Posting	The PAS will preserve the history of all approved interest rates.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.008	Interest Posting	The PAS will calculate the members' interest amounts using the member account balance as of the prior interest period interest posting (June interest is calculated using the account balance as of the previous December 31 interest posting. December interest is calculated using the account balance as of the previous June 30 interest posting).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.009	Interest Posting	The PAS will calculate interest for each contribution category (Basic, COLA, Supplemental Basic, and Supplemental COLA) and Tier type appropriate to the members' accounts.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.010	Interest Posting	The PAS will post interest for each contribution category (Basic, COLA, Supplemental Basic, and Supplemental COLA) and Tier type appropriate to the members' accounts.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.011	Interest Posting	The PAS will calculate and post one-half of the annual interest rate for the June posting, and then one-half of the annual interest rate for the December posting.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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ReqID	Process	Requirement detail	Priority	
508.012	Interest Posting	For each contribution category and Tier type combination appropriate to the member, PAS will calculate interest for the period as [Interest = Interest Rate% x 0.5 x \$value of category/Tier combination as of the previous period interest posting] (note that there could be many interest transactions posted for a member each interest period, when the various combinations of category and tier are considered)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.013	Interest Posting	The PAS will round the calculated interest dollar amount to the nearest whole cent (\$.01)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.014	Interest Posting	The PAS will provide the capability to create a trial interest posting prior to applying the semi-annual interest to the members' accounts. The trial interest posting will compute all interest amounts using the same rules and algorithms the actual interest posting uses.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.015	Interest Posting	<p>The trial interest posting will provide, at a minimum, these data elements, for each member account:</p> <ol style="list-style-type: none"> <li>1. Total Contributions to date(\$)</li> <li>2. Total Interest to date (\$)</li> <li>3. Member SSN on the account</li> <li>4. First Name on account</li> <li>5. Last Name on account</li> <li>6. Account category or Category Status (Active, Retired, Inactive, Refund, Deferred, etc)</li> <li>7. Interest amount to be added (\$) to the account</li> <li>8. New balance on account after interest is added (\$)</li> </ol> <p>The PAS will provide the capability to view data elements of the trial interest posting data grouped and subtotaled by various dimensions to aid in the validation of the totals. An example of an acceptable grouping is shown below. A series of reports or a pivot table tool may be appropriate to aid in this analysis.</p> <p>Active &gt;General &gt;&gt;Employer 1 &gt;&gt;&gt;Member (\$total for all Tiers applicable to member) &gt;&gt;&gt;Member (\$total for all Tiers applicable to member) &gt;&gt;Total (\$) for Active-General-Employer 1</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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ReqID	Process	Requirement detail	Priority	
		>>Employer 2 >>>Member (\$total for all Tiers applicable to member) >>>Member (\$total for all Tiers applicable to member) >>Total (\$) for Active-General-Employer 2 >Total (\$) for Active-General  >Safety >>Employer 1 >>>Member (\$total for all Tiers applicable to member) >>>Member (\$total for all Tiers applicable to member) >>Total (\$) for Active-Safety-Employer 1 >>Employer 2 >>>Member (\$total for all Tiers applicable to member) >>>Member (\$total for all Tiers applicable to member) >>Total (\$) for Active-Safety-Employer 2 >Total (\$) for Active-Safety Total (\$) for Active  Suspended -repeat tree as above  Deferred -repeat tree as about  Inactive -repeat tree as above  Refunded -repeated tree as above  Not Participating -repeated tree as above  Retired		




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		-repeated tree as above  Deceased -repeat tree as above  Overall (\$) Total		
508.016	Interest Posting	The PAS will notify the user, via a report or other mechanism, if any variances equal to or greater than \$0.02 are present in the trial balances. The user will correct variance prior to posting interest to productions.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.017	Interest Posting	The PAS will provide the capability to run an automated job to post and finalize the calculated interest to the members' accounts once the trial balance is approved.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.018	Interest Posting	The PAS will maintain an audit trail of the interest calculation and posting process that logs, at a minimum, timestamps, the start, warnings, errors, and the completion of the calculations and posting.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.019	Interest Posting	The PAS will calculate and post interest for account types that are eligible to earn interest: Active, Inactive, Suspense, and Deferred, plus members who have left their contribution balance with FCERA but are not yet receiving their retirement benefit. The PAS will include partially refunded eligible accounts when calculating interest. All eligible accounts with a balance greater than \$0.00 will earn interest.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.020	Interest Posting	The PAS will post interest transactions in the amount of the interest calculated for the interest period.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.021	Interest Posting	The PAS will clearly indentify interest transactions as interest by including the word 'INTEREST' or 'INT' in the description or type of the transaction.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.022	Interest Posting	The PAS will allow values for the interest rate to 3 digits to the left of the decimal and 5 digits to the right of the decimal (999.99999%).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.023	Interest Posting	The PAS will allow the value zero (0%) as an interest rate.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.024	Interest Posting	The PAS will allow both positive and negative values for interest rate.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.025	Interest Posting	The PAS will allow the value zero dollars \$0.00 as an interest amount.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.026	Interest Posting	The PAS will allow both positive and negative dollars values for interest amount.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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<b>ReqID</b>	<b>Process</b>	<b>Requirement detail</b>	<b>Priority</b>	
508.027	Interest Posting	When the approved interest rate is 0% the PAS will post an amount of \$0.00 for each contribution category (Basic, COLA, Supplemental Basic, Supplemental COLA) and Tier type appropriate to the member (rather than posting no interest transaction for the period).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.028	Interest Posting	The PAS will provide interest calculation and posting capabilities that are entirely independent of importing current pay period payroll transactions. (Interest is calculated based on the cash balance after the previous interest posting, not the current cash balance.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.029	Interest Posting	The PAS will provide the capability for FCERA to calculate and post interest manually for accounts and groups of accounts that have special circumstances.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.030	Interest Posting	The PAS will provide the capability to exclude from automated interest calculation and posting those accounts for which the interest calculation and posting was performed manually.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.031	Interest Posting	The PAS will provide the capability to mark posted interest transactions as Pending while the posting is being verified and reconciled.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.032	Interest Posting	The PAS will provide the capability to mark all Pending interest transactions as Reconciled once the interest posting has been verified.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.033	Interest Posting	The PAS will provide the capability to mark individual Pending interest transactions as Reconciled once the interest posting has been verified.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.034	Interest Posting	Once an interest transaction is marked as Reconciled, the transaction cannot be altered, except by a user with administrative permissions.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.035	Interest Posting	The PAS will provide the capability for a FCERA used with administrative permissions to override interest calculations and post the amount manually, for extenuating circumstances.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.036	Interest Posting	The PAS will calculate interest, run trial balances, and post interest without impact to other PAS operations.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.037	Interest Posting	The PAS will provide the capability to recalculate the correct interest amounts when adjustments are made to contributions in prior periods.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.038	Interest Posting	The PAS will provide the capability to calculate and post the necessary adjustments to interest at any time in the case of interest errors.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.039	Interest Posting	The PAS will provide the capability to generate reports and letters detailing corrections to erroneous interest postings.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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<b>ReqID</b>	<b>Process</b>	<b>Requirement detail</b>	<b>Priority</b>	
508.040	Interest Posting	<p>The PAS will provide the capability to calculate, at every semi-annual interest posting, an amount of interest based on the difference between one-half of the Assumed Interest Rate and one-half of the Apportioned Interest Rate, and credit that amount to the Employers' Reserve accounts.</p> <p>Example: An Apportioned Interest Rate of 0.5% is used to calculate interest on active member accounts. The Assumed Interest Rate applicable to the period is 8%. Therefore, 3.5% interest (4% - .5%), computed on the member's account balance, will be credited to the associated Employer's reserve account.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
508.041	Interest Posting	The PAS will provide the capability to transfer interest accumulated on the member's behalf in the Employer's Reserve account to the member's account at retirement.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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## A.17 Retiree Payroll (509)


ReqID	Process	Requirement details	Priority	Meets Requirement?			
509.001	Retiree Payroll	The PAS will provide functionality to complete monthly retiree and lump sum payroll processing at FCERA.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.002	Retiree Payroll	The PAS must provide adequate review, reconciliation, and quality assurance checks to ensure the payroll data is correct regardless of the processing model FCERA adopts.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.003	Retiree Payroll	The PAS will provide the capability to create payroll interface file(s) compatible with the Bank.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
509.004	Retiree Payroll	The PAS will provide the capability to create payroll interface file(s) containing new retirements.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.005	Retiree Payroll	The PAS will provide the capability to create payroll interface file(s) containing recurring pension payments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.006	Retiree Payroll	The PAS will provide the capability to create payroll interface file(s) containing lump sum distributions.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.007	Retiree Payroll	The PAS will provide the capability to import the Bank's payroll output file into the PAS.	3	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.008	Retiree Payroll	The PAS will provide the capability to select a subset of fields in the Bank's payroll output file for importing into the PAS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.009	Retiree Payroll	The PAS will provide the capability to warn FCERA staff when an individual payee account id is scheduled to receive two payments on the same FCERA business day.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.010	Retiree Payroll	The PAS will provide the capability to automatically change the payment date to the next FCERA business day when an individual payee account id is scheduled to receive two payments on the same day.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.011	Retiree Payroll	The PAS will provide the capability to change the payment date manually to the next FCERA business day when an individual payee account id is scheduled to receive two payments on the same day.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			

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509.012	Retiree Payroll	The PAS will provide the capability to compute proper tax withholding based on W4P and tax tables.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.013	Retiree Payroll	The PAS will provide the capability to compute proper tax withholding based on DE 4P and tax tables.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.014	Retiree Payroll	The PAS will provide the capability to compute proper tax withholding based on other states' withholding and tax tables.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
509.015	Retiree Payroll	The PAS will provide the capability to compute proper tax withholding based on NRA tax rules.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
509.016	Retiree Payroll	The PAS will provide the capability to accommodate off-cycle payment requests.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.017	Retiree Payroll	The PAS will provide the capability to capability to provide gross payment information (pre-tax) to an outsourced payroll processor.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.018	Retiree Payroll	The PAS will provide the capability to provide net payment information (post-tax) to an outsource payroll processor.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
509.019	Retiree Payroll	The PAS will provide the capability to calculate payment amounts funded from an unlimited number of funding sources.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.020	Retiree Payroll	The PAS will provide the capability to issue payments from an unlimited number of funding sources.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.021	Retiree Payroll	The PAS will provide the capability to include an unlimited number of voluntary deductions to the member's gross payment amount in the payroll interface file. (Currently, the only authorized voluntary deductions are Federal and State Income tax, health insurance under a County plan, dues for membership in the Retired Employees of Fresno County Organization.)	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			

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<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>	<b>Meets Requirement?</b>
509.022	Retiree Payroll	The PAS will provide the capability to include an unlimited number of mandatory deductions to the member's gross payment amount, as ordered by Court or other authoritative body, in the FCERA payroll interface file. (Such mandatory deductions could be for Alimony, Child Support, repayments, or other deductions that FCERA has been ordered to apply.)	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
509.023	Retiree Payroll	The PAS will provide the capability to include an unlimited number of reductions to the member's gross benefit amount in the payroll interface file, with each reduction having its own stop date. (This is often done for repayment of funds to FCERA, rather than using a payroll deduction.)	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
509.024	Retiree Payroll	The PAS will provide the capability to treat repayments as a deduction, by exception only. (Usually repayments are done as a reduction to gross benefit amount, not a deduction from payroll.)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
509.025	Retiree Payroll	The PAS will provide the capability to include an unlimited number of adjustments to the member's gross benefit amount in the payroll interface file. (Adjustments include amounts for COLA, Supplemental COLA, and Health Benefits)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
509.026	Retiree Payroll	<p>The PAS will compute payment dates based on the FCERA business calendar. FCERA will be closed on the following days in recognition of the holiday celebrated on that date. If the last day of the month falls on one of the holidays recognized by FCERA, or on a weekend, the PAS will change the payroll payment date to be the FCERA business day preceding the holiday or weekend.</p> <ul style="list-style-type: none"> <li>• January 1 (New Year's Day) (preceding Friday if holiday falls on Saturday, following Monday if holiday falls on Sunday)</li> <li>• Third Monday in January (Martin Luther King Day)</li> <li>• Third Monday in February (President's Day)</li> <li>• March 31 (Cesar Chavez Day) (preceding Friday if holiday falls on Saturday, following Monday if holiday falls on Sunday)</li> <li>• Fourth Monday In May (Memorial Day)</li> <li>• July 4 (Independence Day) (preceding Friday if holiday falls on Saturday, following Monday if holiday falls on Sunday)</li> <li>• First Monday in September (Labor Day)</li> <li>• November 11 (Veteran's Day) (preceding Friday if holiday falls on Saturday,</li> </ul>	1	<input type="checkbox"/> YES <input type="checkbox"/> NO


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		<p>following Monday if holiday falls on Sunday)</p> <ul style="list-style-type: none"> <li>• Fourth Thursday and Friday in November (Thanksgiving Day)</li> <li>• December 25 (Christmas Day) (preceding Friday (preceding Friday if holiday falls on Saturday, following Monday if holiday falls on Sunday)</li> </ul>					
509.027	Retiree Payroll	The PAS will provide capabilities to ensure that paper checks and check advices can be mailed on the 4 <sup>th</sup> business day prior to the last FCERA business day of the month.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.028	Retiree Payroll	The PAS will provide the capability to recreate a payroll file if errors where found and corrected prior to FCERA authorizing payments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.029	Retiree Payroll	The PAS will provide the capability to retransmit a payroll file to an outsourced provider if the previous transmit failed.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.030	Retiree Payroll	The PAS will provide the capability to include demographic information in the interface file to the payment processor.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.031	Retiree Payroll	The PAS will provide the flexibility for FCERA to adopt gradual improvements to the payroll processing model. FCERA may chose to continue with the current model for a period of time, changing at a convenient start of a future quarter or year.	3	<div>1</div> <input type="checkbox"/>	<div>2</div> <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	<div>3</div> <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	<div>4</div> <input type="checkbox"/>
509.032	Retiree Payroll	The PAS will include in the basic benefit amount sent to the Bank, the increase to the basic benefit amount resulting from a golden handshake.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.033	Retiree Payroll	The PAS will exclude from the years of service value sent to the Bank, the additional years of service resulting from a golden handshake.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.034	Retiree Payroll	The PAS will maintain the separation of retirement benefits when one member spouse survives another member spouse. For example, if both spouses are FCERA members and one dies, the surviving spouse receives their own retirement and the retirement benefits as a beneficiary of their spouse. The two benefits cannot be merged.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.035	Retiree Payroll	The PAS will provide the capability to query the PAS for checks that have not cleared for N days, where N is specified by the user.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.036	Retiree Payroll	The PAS will provide the capability to generate an editable letter to the member when a payment check has not cleared after 35 days.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
509.037	Retiree Payroll	The PAS will provide the capability to manually void a check payment as stale-dated when the check has not cleared for 180 days.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			

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509.038	Retiree Payroll	The PAS will provide the capability to generate and editable letter to the member when a check payment has been voided as stale-dated.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO




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## A.18 Year End Processing (510)

ReqID	Process	Requirement detail	Priority	Meets Requirement?
510.001	Year End Processing	FCERA requires a PAS to fulfill the objectives and scope of Year End Processing	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
510.002	Year End Processing	<p>The PAS will provide the tools and data necessary to verify that the Distribution Codes used on transactions throughout the calendar year are correct, with special attention placed on</p> <ul style="list-style-type: none"> <li>• New Retirees</li> <li>• Service Connected Disabilities</li> <li>• Conversions (Service retirements converted to either Non-Service Connected Disability or Service Connected Disability)</li> <li>• Distribution Code changes. 1099R Distribution Codes are established by the IRS and vary by the type of retirement.</li> <li>• Taxability corrections and changes</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
510.003	Year End Processing	The PAS will provide the capability to assist in verifying that the payroll data at the Bank reconciles to the data in the PAS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
510.004	Year End Processing	The PAS will provide the capability to verify proper taxability for accounts that span January 1, 2003	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
510.005	Year End Processing	The PAS will provide the capability to make corrections to payroll data in support of year-end processing.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
510.006	Year End Processing	The PAS will provide the capability to create an interface file to the Bank containing corrections with regards to year-end processing	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
510.007	Year End Processing	The PAS will provide the capability to validate that all known contributions were posted prior to posting interest payments for June 30 and Dec 31.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
510.008	Year End Processing	The PAS will provide the capability to calculate Year to Date contributions and interest by member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
510.009	Year End Processing	The PAS will provide the tools and data necessary to affirm the correctness of information for annual Benefits Statements to members.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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ReqID	Process	Requirement detail	Priority	Meets Requirement?
510.010	Year End Processing	The PAS will provide the capability to report Reserve movements sorted by status	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
510.011	Year End Processing	The PAS will provide the capability to report account movements and status.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
510.012	Year End Processing	The PAS will provided the capability to store historical, future, and current account number is accordance with the general ledger chart of accounts.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
510.013	Year End Processing	The PAS will provide the capability to create reports whose content correlates to FCERA's chart of accounts and NAV GL.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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## A.19 Tax Reporting (511)

ReqID	Process	Requirement details	Priority	Meets Requirement?			
511.001	Tax Reporting	The PAS will provide tools and reports to assist FCERA staff with monthly payment reconciliation between PAS and Bank data.	1	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
511.002	Tax Reporting	The PAS will provide tools and reports to ensure the dollar values reported in the annual tax summary reports exactly match the total on the members' annual 1099R forms,	1	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
511.003	Tax Reporting	The PAS will provide tools and reports to assist FCERA staff with reconciling lump sum payments, and their associated State and Federal withholding, every payroll cycle by comparing Bank reports with PAS reports and data.	1	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
511.004	Tax Reporting	The PAS will provide <b>Controls Total Summary Report</b> containing summations of all PENSIONS transactions for the period. This report is currently generated after each active payroll import.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
511.005	Tax Reporting	The PAS will provide the <b>Member's Audit Trail</b> report.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
511.006	Tax Reporting	The PAS will provide the capability to create <b>Screen shots</b> or <b>reports</b> containing the information in the member's home screen and contribution history screen.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
511.007	Tax Reporting	The PAS will not increase the workload on FCERA for the purposes of tax reporting.	1	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
511.008	Tax Reporting	The PAS will provide the capability to retain in perpetuity all records pertaining to tax reporting.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
511.009	Tax Reporting	The PAS will provide the capability to track separately the two major types of payments to members (1. Retiree Payroll, and 2. Refund and Death payments) for the purposes of quarterly tax reporting.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
511.010	Tax reporting	The PAS will provide the capability to apply changes to taxability for the entire calendar year in the case of benefit conversions. For example, if a member converts from service retirement to service-connected disability retirement in May, the resulting taxability changes are applied to payments made in the months of January through May as well as to future payments.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
511.011	Tax Reporting	The PAS will provide the capability to apply changes to taxability for a partial calendar year in the case of benefit conversions.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		


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## A.20 Error Corrections and Adjustments (512)


ReqID	Process	Requirement details	Priority	
512.001	Error Corrections & Adjustments	<p>The PAS will provide the capability to correct non-incidental errors of any scale, such that all affected parties are in the position in which they would have been had the error never occurred.</p> <p>Examples of errors that have happened in the past are listed below to characterize the type of errors addressed by this requirement.</p> <ul style="list-style-type: none"> <li>a) Adjustments to benefits</li> <li>b) Off-cycle payroll. This happens when the County does not pay a person on time or correctly, such as during the transition from Active to Retired. The County creates a special payroll transaction that does not come to FCERA in the regular PSBiweekly import. FCERA staff hand-enter in PENSIONS the contributions and salary information for off-cycle payroll. Off-cycle payroll happens only with the County and Courts, not with Districts.</li> <li>c) Supplemental Cost of Living Adjustment (COLA)</li> <li>d) Final Compensation calculation errors</li> <li>e) COLA Errors</li> <li>f) Interest error posting or rate change error</li> <li>g) Transactions posting to wrong individual (such as posting to beneficiary instead of member, etc)</li> <li>h) Non-demographic information changes and corrections on member accounts (distribution code, location codes, for example)</li> </ul>	1	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	
512.002	Error Corrections & Adjustments	The PAS will provide a complete audit trail of all changes made to data in response to a system-wide error.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
512.003	Error Corrections & Adjustments	The PAS will provide sufficient information in an error correction audit trail such that data corrections can be traced from beginning to end.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
512.004	Error Corrections & Adjustments	The PAS will include in the error correction audit trail, at a minimum: the date of change, account affected, before value, after value, user who made the change, and reason for change.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
512.005	Error Corrections & Adjustments	The PAS will provide the capability to retain the error correction audit trail for any number of years, as determined by FCERA Policy. The retention period is currently 3-5 years, and may change.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
512.006	Error Corrections & Adjustments	The PAS will employ data compression or other efficiency algorithms on the error correction audit trail to keep storage overhead to a minimum.	3	<div>1</div> <input type="checkbox"/> <div>2</div> <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <div>3</div> <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <div>4</div> <input type="checkbox"/>
512.007	Error Corrections & Adjustments	The PAS will provide the capability to support FCERA location codes.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
512.008	Error Corrections & Adjustments	The PAS will provide the capability to add, change, and delete location codes. (Benefits conversions are one example that can cause location codes to change on a member's account. ex: conversion of a service retirement to disability retirement.)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
512.009	Error Corrections & Adjustments	The PAS will provide the capability to ensure changes to location code are made at the Bank as well as in the PAS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
512.010	Error Corrections & Adjustments	The PAS will provide the capability to track and report the status of non-member payees, such as for the stop date on continuances for minor children enrolled in school and for beneficiaries.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
512.011	Error Corrections & Adjustments	The PAS will provide the capability to change the actuarial assumptions under which the PAS performs some of its calculations	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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ReqID	Process	Requirement details	Priority	
512.012	Error Corrections & Adjustments	The PAS will provide the capability to make changes to demographic data (name and address changes, direct deposit, withholding, for example) when required to correct errors.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
512.013	Error Corrections & Adjustments	The PAS will provide the capability to push changes to demographic data to the Bank in an electronic interface file.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
512.014	Error Corrections & Adjustments	The PAS will provide tools to aid in identifying and correcting posting errors due to non-financial changes.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
512.015	Error Corrections & Adjustments	The PAS will provide intelligent matching when posting transactions to member accounts.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
512.016	Error Corrections & Adjustments	The PAS will report transactions for which the match to the members' accounts is questionable.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
512.017	Error Corrections & Adjustments	The PAS will generate the appropriate payroll adjustments that result from the correcting of posting errors.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
512.018	Error Corrections & Adjustments	The PAS will provide the capability for FCERA to charge a rate of interest, based on FCERA's Policy, for overpayments resulting from errors.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
512.019	Error Corrections & Adjustments	The PAS will provide the capability to grant a rate of interest, based on FCERA's Policy, for underpayments resulting from errors.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
512.020	Error Corrections & Adjustments	The PAS will provide the capability to override any interest rate resulting from errors.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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## A.21 1099R Processing (513)

ReqID	Process	Requirement details	Priority	Meets Requirement?			
513.001	1099R Processing	FCERA requires a PAS to fulfill the objectives and scope of the 1099R Processing process.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
513.002	1099R Processing	The PAS will provide the capability for an appropriately privileged user to change Distribution Codes in the PAS for the member's payments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
513.003	1099R Processing	The PAS will provide the capability to send the Distribution Code changes to the Bank in an interface file generated by the PAS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
513.004	1099R Processing	The PAS will provide the capability for an appropriately privileged user to override any value in a member's account in the PAS to correct information supporting 1099R documents.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
513.005	1099R Processing	The PAS will provide the capability to send 1099R corrections to the Bank in an interface file generated by the PAS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
513.006	1099R Processing	The PAS will provide the capability to reconcile annual payment totals for members based on the actual payment transactions, with 1099R totals generated at the Bank.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
513.007	1099R Processing	The PAS will provide the capability for an appropriately privileged user to correct current tax year 1099R amounts in a member's account.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
513.008	1099R Processing	The PAS will provide the capability for an appropriately privileged user to correct prior tax years 1099R. At FCERA this is only done in rare special circumstances, under legal direction.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
513.009	1099R Processing	The PAS will provide the capability to apply an account conversion (ex service retirement to disability) effective for the entire tax year, regardless of when the conversion actually occurred.	3	<div>1</div> <input type="checkbox"/>	<div>2</div> <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	<div>3</div> <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	<div>4</div> <input type="checkbox"/>


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ReqID	Process	Requirement details	Priority	Meets Requirement?			
513.010	1099R Processing	The PAS will provide the capability to apply an account conversion (ex service retirement to disability) effective for a partial tax year, if required.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
513.011	1099R Processing	<div>The PAS will provide the capability to provide information in the monthly payroll file to the Bank such that the Bank has all the information necessary to produce Form 1099R and Form 1042 for <b>Federal</b> reporting,</div> <div><div>1 - Gross Distribution:</div><div>2a - Taxable Amount:</div><div>2b - Taxability not determined:</div><div>2b - Total distribution:</div><div>4 - Fed withheld:</div><div>5 - EE contributions: (After-tax contributions).</div><div>7 - Distribution Codes:</div><div>9a - Percentage of total distribution: (Used for Death Benefits)</div><div>9b - Total EE contributions: (For the initial 1099R for a member, this amount represents the total after-tax contributions by the payee, not deducting the after-tax amount in box 5. In subsequent years this amount is the remaining after-tax amount, after the amount in box 5 is deducted)</div><div>10 - State withheld:</div><div>11 - State/Payer's state #: (PENSIONS only)</div><div>12 - State distribution: (Same as Box 1, Gross Distribution)</div></div> <div><div>In addition to the standard boxes on the 1099Rs, the following demographic and account data is required:</div><div><div>Payee Name</div><div>Payee SSN or TaxID</div><div>Payee Address</div><div>Payee Account# (contains the value “FCERA” followed by a location code, for example FCERA SSCD or FCERA GNRL)</div><div>Payer information and Federal ID</div></div></div>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
513.012	1099R Processing	The PAS will provide the capability to provide information in the monthly payroll	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			




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ReqID	Process	Requirement details	Priority	Meets Requirement?
		<div>file to the Bank such that the Bank has all the information necessary to produce Form 1099R and Form 1042 for <b>Sate</b> reporting.</div> <div><div>1 - Gross Distribution:</div><div>2a - Taxable Amount:</div><div>2b - Taxability not determined:</div><div>2b - Total distribution:</div><div>4 - Fed withheld:</div><div>5 - EE contributions: (After-tax contributions).</div><div>7 - Distribution Codes:</div><div>9a - Percentage of total distribution: (Used for Death Benefits)</div><div>9b - Total EE contributions: (For the initial 1099R for a member, this amount represents the total after-tax contributions by the payee, not deducting the after-tax amount in box 5. In subsequent years this amount is the remaining after-tax amount, after the amount in box 5 is deducted)</div><div>10 - State withheld:</div><div>11 - State/Payer's state #: (PENSIONS only)</div><div>12 - State distribution: (Same as Box 1, Gross Distribution)</div></div> <div>In addition to the standard boxes on the 1099Rs, the following demographic and account data is required:</div> <div><div>Payee Name</div><div>Payee SSN or TaxID</div><div>Payee Address</div><div>Payee Account# (contains the value “FCERA” followed by a location code, for example FCERA SSCD or FCERA GNRL)</div><div>Payer information and Federal ID</div></div>		
513.013	1099R Processing	The PAS will provide the capability to provide all information and tools necessary to reconcile GL to the PAS and the Bank 1099R reports.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?			
513.014	1099R Processing	The PAS will provide the capability to differentiate taxable payments from non-taxable payments and calculate the respective totals.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
513.015	1099R Processing	The PAS will provide the capability to provide all the information and tools necessary to reconcile the PAS to the monthly trial balance report from the Bank and verify the Tax Register from the Bank prior to payments being approved. The Tax Register from the Bank lists <ul style="list-style-type: none"> <li>• All lump sum distributions</li> <li>• Number of distributions</li> <li>• Dollar amounts for total of distributions</li> <li>• Individual Distribution Codes</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
513.016	1099R Processing	The PAS will provide the capability to recognize January 1, 2003 as the date when FCERA began tracking taxable versus nontaxable payments. All payments to new retirees after this date are subject to tax rules.	3				
513.017	1099R Processing	The PAS will provide the capability to exclude repayments from gross distributions and taxable amount when calculating totals for 1099R reconciliation.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
513.018	1099R Processing	The PAS will provide the capability to send Adjustment to 1099R amounts to the Bank as part of the PAS interface file to the Bank.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
513.019	1099R Processing	The PAS will provide the capability to properly handle the taxability for members whose payment history straddles January 1, 2003.	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>

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ReqID	Process	Requirement details	Priority	Meets Requirement?			
513.020	1099R Processing	<p>The PAS will provide the capability to identify special cases to support annual verification of 1099R-related data from the Bank. The special cases are</p> <ul style="list-style-type: none"> <li>• New Retirees</li> <li>• Interstate relocations</li> <li>• Service Connected Disability</li> <li>• Regular retirement conversions to disability</li> <li>• Corrections and changes of distribution codes. The distribution codes of particular interest are               <ol style="list-style-type: none"> <li>1. Code 3 = Disability</li> <li>2. Code 4 = Deceased</li> <li>3. Code 7 = Normal distribution</li> <li>4. Code 2 = Early distribution, exception applies</li> <li>5. Code 1 = Early distribution, without exception</li> </ol> </li> </ul>	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
513.021	1099R Processing	<p>The PAS will provide the capability to support, via reports, the monthly validation of Distribution Codes prior to generating a retiree payroll file to the Bank. The Distribution Codes is particular interest are</p> <ol style="list-style-type: none"> <li>1. Code 1 = Early distribution</li> <li>2. Code 2 = Early distribution, exception applies</li> <li>3. Code 3 = Disability</li> <li>4. Code 4 = Deceased (the final month of the annuity benefit, known as Final Days Paid, will issued as an installment, prior to any lump sum death benefit being paid)</li> <li>5. Code 4G = Deceased / Direct Rollover</li> <li>6. Code 7 = Normal distribution</li> <li>7. Code G = Direct Rollover</li> </ol>	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
513.022	1099R Processing	The PAS will provide the capability to produce Form 1099R and Form 1042 (Original, Corrected, Reissued, and Duplicate) documents entirely in-house, should FCERA decide to so in the future.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
513.023	1099R Processing	The PAS will provide the capability to produce a data file compatible with 1099 printing service providers, should FCERA decide to outsource printing of Form 1099R and Form 1042 documents.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			


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513.024	1099R Processing	The PAS will provide the capability to archive Form 1099R and Form 1042 documents (Original, Corrected, Reissued, and Duplicate) produced in-house directly to an EDMS and properly associate each document with a member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
513.025	1099R Processing	The PAS will provide the capability to retrieve and print Form 1099R and Form 1042 documents (Original, Corrected, Reissued, Duplicate) that have been archived to FCERA's EDMS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
513.026	1099R Processing	The PAS will provide the capability to produce a data file compatible with IRS electronic filing requirements for 1099R.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
513.027	1099R Processing	The PAS will provide the capability to produce a data file compatible with State of California electronic filing requirements for 1099R.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
513.028	1099R Processing	The PAS will provide the capability to generate separate 1099Rs to a member, one for each distribution code, when multiple payments having different distribution codes are made to a member. When the multiple payments all have the same distribution code, only one 1099R will be generated to the member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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## A.22 Supplemental Benefits Pre2001 (514)

ReqID	Process	Requirement details	Priority	Meets Requirement?
514.001	Supplemental Benefit for Pre-2001 Retirees	The PAS will provide functionality to administer the Supplemental Benefit for Pre2001 retirees and others eligible for the benefit.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
514.002	Supplemental Benefit for Pre-2001 Retirees	The PAS will provide the capability to identify persons eligible to receive the Supplemental Benefit Pre2001. All persons and their eligible beneficiaries who were in the retiree payroll, including alternate payees (subject to the provisions of DROs, where applicable), prior to January 1, 2001 are eligible for the Supplemental Benefit for Pre-2001 Retirees.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
514.003	Supplemental Benefit for Pre-2001 Retirees	For those persons eligible, the PAS will calculate the supplemental benefit as \$15.00 per full year completed with FCERA, up to the maximum of \$450 for 30 full years with FCERA (subject to the provisions of DROs, where applicable).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
514.004	Supplemental Benefit for Pre-2001 Retirees	The PAS will apply the benefit to beneficiaries with continuances, both those in payroll prior to January 2001 and those first going into payroll after January 2001 in the same proportion as the continuance election. For example, an eligible spouse who is entitled to a continuance under the unmodified option would receive 60% of the supplemental benefit. An eligible beneficiary of a retiree who elected option 2 or 3 modified allowance would receive 100% or 50% respectively, depending on the election taken by the retiree (and subject to the provisions of DROs, where applicable).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
514.005	Supplemental Benefit for Pre-2001 Retirees	The PAS will provide the capability to manually override eligibility for the Supplemental Benefit for Pre2001 Retirees.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
514.006	Supplemental Benefit for Pre-2001 Retirees	The PAS will provide the capability to manually override the calculation for the Supplemental Benefit for Pre2001 Retirees.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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ReqID	Process	Requirement details	Priority	Meets Requirement?
514.007	Supplemental Benefit for Pre-2001 Retirees	The PAS will provide the capability to remove or modify the Supplemental Benefit for Pre2001 retirees in the future, if directed to do so.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
514.008	Supplemental Benefit for Pre-2001 Retirees	The PAS will provide the capability to add/remove/change, calculate, and apply special case benefits that may arise in the future.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO

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## A.23 IRC415b Processing (515)

ReqID	Category	Requirement detail	Priority	Meets Requirement?
515.001	IRC415B Processing	The PAS will provide the capability to identify existing members who are susceptible to IRC415b limitations in any given year.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
515.002	IRC415B Processing	The PAS will provide the capability to indicate on the Retirement Estimate whether a new retiree may be susceptible to IRC415b limitations.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
515.003	IRC415B Processing	<p>The PAS will provide the capability to generate a report for the Actuary for those members susceptible to IRC415b limitations, containing such information as listed below, along with other information that the Actuary may request. Note that some historical information may not be available.</p> <ul style="list-style-type: none"> <li>• Member's Calc Summary</li> <li>• Audit Trail of member's account</li> <li>• Member's already taxed service credit purchases</li> <li>• Member's already taxes contributions</li> <li>• Total Service Earned and purchased</li> <li>• Total Contributions by taxed and taxable, itemized as COLA and other contributions.</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
515.004	IRC415B Processing	The PAS will provide the information necessary for FCERA staff to determine the amount of the last payment of the year for each member limited by IRC415b.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
515.005	IRC415B Processing	The PAS will provide a detailed listing of any missing information that would otherwise support IRC415b calculations.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
515.006	IRC415B Processing	The PAS will provide the capability to capture and store all currently available data supporting IRC415b calculations.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
515.007	IRC415B Processing	The PAS will provide the capability to override a member's regularly scheduled payment amount with the amount determined for the last payment of the year.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
515.008	IRC415B Processing	The PAS will provide the capability to stop further scheduled payments through a specified date (December 31 by default) for each member limited by IRC415b.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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515.009	IRC415B Processing	The PAS will provide the capability to resume regular payments automatically on specified date (January 31 by default) without further actions by FCERA staff.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
515.010	IRC415B Processing	The PAS will provide the capability to exclude the member from retiree payroll files to the Bank once payments have been stopped due to the IRC415b limitation (the Bank cannot accept transactions of \$0 amount).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
515.011	IRC415B Processing	The PAS will provide the capability to generate a letter to the member limited by IRC415b explaining the limitation and containing instructions on what needs to be done so the County can start the member's subsidy payments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
515.012	IRC415B Processing	The PAS will provide the capability to set, as a system parameter, a threshold percent of the IRC415b limitation such that FCERA can be pro-active in identifying members who may be limited by IRC415b.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
515.013	IRC415B Processing	The PAS will provide the capability to generate a report at any time that identifies members who may have crossed a threshold toward IRC415b limitations.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
515.014	IRC415B Processing	The PAS will provide the capability to set, as a system parameter, the current dollar value of IRC415b limitation. The amount can change each year and is provided by the Actuary.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
515.015	IRC415B Processing	The PAS will provide the capability to set the current dollar value of the IRC415b limitation for each member susceptible, as well as globally for all members. The amount can change each year and is provided by the Actuary.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
515.016	IRC415B Processing	The PAS will provide the capability for nontechnical staff with appropriate permissions to set system parameters relating to IRC415b.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
515.017	IRC415B Processing	The PAS will provide the capability to accommodate exceptions to IRC415b, thereby excluding members meeting certain other criteria from the limitation of IRC415b.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO




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## A.24 Dissolution of Marriage (700)


ReqID	Process	Requirement details	Priority	Meets Requirement?
700.001	Dissolution of Marriage	The PAS will provide the capability to assist FCERA in tracking the various administrative steps in processing a Dissolution of Marriage to completion.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
700.002	Dissolution of Marriage	The PAS will provide the capability to apportion FCERA benefits as directed by legal order in a Dissolution of Marriage.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
700.003	Dissolution of Marriage	The PAS will consider CA Registered Domestic Partnerships as equivalent to Marriage when applying business rules for Dissolution.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
700.004	Dissolution of Marriage	The PAS will provide the capability to administer an unlimited number of dissolutions for a member.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
700.005	Dissolution of Marriage	The PAS will provide the capability to link all payees involved in the dissolution to the member's account. If the ex-spouse is also a member of FCERA, there will be a cross-reference in both directions. If the member had multiple divorce settlements, there will be multiple links to alternate payees.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
700.006	Dissolution of Marriage	The PAS will provide the capability to apply adjustments (i.e. COLA) to the member's benefits.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
700.007	Dissolution of Marriage	The PAS will provide the capability to apply adjustments (i.e. COLA) to the non-member-spouse's benefits.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
700.008	Dissolution of Marriage	The PAS will provide the capability to eliminate components of the benefit (i.e. COLA or health benefits) from the member's benefits.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
700.009	Dissolution of Marriage	The PAS will provide the capability to eliminate components of the benefit (i.e. COLA or health benefits) from the non-member's benefits.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
700.010	Dissolution of Marriage	The PAS will provide the capability to set reminders and a schedule for all Dissolutions communications.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
700.011	Dissolution of Marriage	The PAS will provide the capability to set calendar events that will automatically takes actions stated in the DRO (i.e. reduction of benefit, etc).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
700.012	Dissolution of Marriage	The PAS will provide the document management capability to help administer Dissolution orders.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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700.013	Dissolution of Marriage	The PAS will provide checklists and other integrated tools to help administer dissolution orders.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
700.014	Dissolution of Marriage	The PAS will provide the capability to easily identify the status of the dissolution process by viewing the member's account.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
700.015	Dissolution of Marriage	The PAS will provide the capability to store and review historical information on actions that were performed on member accounts (who did what and when) with regards to dissolution orders.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
700.016	Dissolution of Marriage	The PAS will prevent refunds and any type of FCERA benefit if a member's account is flagged with a pending dissolution.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
700.017	Dissolution of Marriage	The PAS will provide a set of parameters that must be satisfied in order to process refunds or set up a benefit in conjunction with a Dissolution of Marriage.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
700.018	Dissolution of Marriage	The PAS will require Joinder only when the ex-spouse will receive benefit. Joinder is not needed when the benefit will go only to the original member (as in a decree stating that the benefit is "sole and separate property" or when a decree is 'silent', meaning the Decree did not specifically mention FCERA and/or Retirement.)	3	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
700.019	Dissolution of Marriage	The PAS will provide the capability, through checklists and other tools, to ensure that FCERA always obtains a Decree of Divorce stating the marriage is dissolved. (The Decree is a different instrument from a DRO, which states how the assets are to be divided.)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
700.020	Dissolution of Marriage	The PAS will provide the capability to withhold 50% of a retired member's retirement benefit pending receipt of an executed DRO that includes a description of the allocation of the community property interest of the member's retirement benefit.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
700.021	Dissolution of Marriage	The PAS will provide the capability to adjust the benefit amount retroactively to the date specified on court documents.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
700.022	Dissolution of Marriage	The PAS will provide the capability to administer the apportionment of benefits resulting from a Dissolution of Marriage without creating separate accounts for the non-member payee(s).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
700.023	Dissolution of Marriage	The PAS will provide the capability to enforce the business rule that no community property benefits will be paid to the non-member spouse until the member applies for and begins receiving retirement benefits	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
700.024	Dissolution of Marriage	The PAS will provide the capability enter dollar amounts, percentages, and/ or a combination of percentage and dollars, as ordered by the DRO.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			


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700.025	Dissolution of Marriage	The PAS will provide the capability to accommodate any apportionment issued by the Courts on a DRO or other documents. For example, the DRO could order the member to choose an optional settlement (usually Option 4) that would provide a continuance to the ex-spouse upon death of the member at a pre-defined percentage or amount.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
700.026	Dissolution of Marriage	The PAS will enforce the rule that Disability benefits do not become subject to community property distribution until normal retirement age is reached.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
700.027	Dissolution of Marriage	The PAS will provide the capability to identify non-taxable portion of the retirement benefit and contributions for members and non-member payees.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
700.028	Dissolution of Marriage	The PAS will allow service that was bought by the member during the marriage to be apportioned to both the member and the non-member upon dissolution, even if the actual time period that the member bought might have happened before the marriage. If the purchase was executed or initiated during the marriage, it may apply to both the member and the non-member. The exact apportionment will be determined by Court and documented in the Stipulation.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
700.029	Dissolution of Marriage	Regardless of the rules that are built-in, the PAS will provide the capability to override the value of any field manually.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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## A.25 Accounting and Financials (702)

ReqID	Process	Requirement details	Priority	Meets Requirements?
702.001	Accounting & Financials	The PAS will provide the capability to track contributions from Plan Sponsors (“Employers”).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
702.002	Accounting & Financials	The PAS will provide the capability to track contributions from members (“Employees”).	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
702.003	Accounting & Financials	The PAS will not credit Plan Sponsor’s (“Employer”) contributions to the members (“Employee”) accounts.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
702.004	Accounting & Financials	The PAS will provide tools to support reconciliation and auditing of contributions.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
702.005	Accounting & Financials	The PAS will provide a report containing Compensation Earnable, by FCERA-defined period (pay period, annual) for every member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
702.006	Accounting & Financials	The PAS will provide the capability to report estimated employee and employer contributions due, which is equal to Compensation Earnable multiplied by a FCERA-specified contribution rate. The contribution rates can change annually or at any time throughout the year.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
702.007	Accounting & Financials	The PAS will provide the capability to process void/reissued payments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
702.008	Accounting & Financials	The PAS will require an affidavit from the payee to issue a payment stop due to a lost check.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
702.009	Accounting & Financials	The PAS will provide the capability to track Reserve Balances using information contained in the County Biweekly payroll and supplemented by manual entries for the districts or other plan sponsors.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
702.010	Accounting & Financials	The PAS will produce the Reserve Balance Transaction Report containing the member transactions that affect the active and retired reserves. All service retirements, recalculated service retirements, and conversions of service retirements to disability retirements will be on the report. Each member will be listed, along with the contributions that are moved between the reserves, including adjustments. The report will be capable of showing adjustments and conversions as Net, and/or Gross Old and Gross New amounts.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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<b>ReqID</b>	<b>Process</b>	<b>Requirement details</b>	<b>Priority</b>	<b>Meets Requirements?</b>
702.011	Accounting & Financials	The PAS will produce data file(s) that FCERA will send to Small World Solutions to support death verification. The data fields needed for the file to be sent to Small World Solutions are as follows: Record ID – currently populates to SSN since we have designated a use Group – FCERA Location Code (no translation for Small World Solutions is necessary). SSN Last Name First Name Date of Birth	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
702.012	Accounting & Financials	The PAS will provide the capability to record cash receipts related to service purchases, underpayments, and/or repayments as taxed, taxable, and/or both.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
702.013	Accounting & Financials	The PAS will provide the capability to record cash receipts related to service purchases, underpayments, and/or repayments by tier, classification, benefit type, and tax status.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
702.014	Accounting & Financials	The PAS will support the process of compiling the CAFR by providing statistical reports on benefits and payees.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
702.015	Accounting & Financials	The PAS will provide the capability to create of a file(s) containing member transaction data for posting to the GL.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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## A.26 Board Reporting (703)

ReqID	Process	Requirement details	Priority	Meets Requirement?
703.001	Board Reporting	The PAS, will provide the capability to automate a monthly report of activity that will cause new payroll payments (new retirements and survivors' continuances) or stop existing payroll payments (deaths) for the respective month.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
703.002	Board Reporting	The PAS will provide the capability to record two important dates supporting the Board Reporting process: the original effective date of termination and the actual date the Disposition Form was received and made effective in the system.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
703.003	Board Reporting	The new PAS will provide the capability to report any members in suspense status and their corresponding effective date of termination. FCERA staff will use this report to follow up with members to ensure that elections are submitted in a more timely fashion.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
703.004	Board Reporting	The List of New Retirements report to the Board will contain the following columns: a. First Name and Middle Initial b. Last Name c. Classification: General or Safety d. Total Service e. Department f. Effective date of retirement, or death g. Address (if member has agreed to share the address with the Retiree's Association) h. If death, specify beneficiary continuance or no beneficiary continuance	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
703.005	Board Reporting	The PAS will maintain the data required to generate the New Retirements Report to the Board such that the report can be produced just prior to the Administrative Secretary needing to prepare the Board Agenda.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
703.006	Board Reporting	The PAS will timestamp all changes of member status and preserve the history. (There are situations where the date of the most recent change of status is not the effective date of retirement.)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
703.007	Board Reporting	The PAS will maintain the member status as 'suspense' as long as the Disposition Form has not been returned to FCERA.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
703.008	Board Reporting	The new PAS must provide the capability to record the date on which the election was received from the member in addition to the suspended date. When the Disposition Form is received with the "deferred" option selected, the suspense date then becomes the effective date of the deferred retirement. The member is added to the next month's consent agenda in the "deferred retirement" section.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
703.009	Board Reporting	The criteria for selecting members for the <b>deferred retirement list</b> for the respective month's board agenda are: a. Member has not been reported in deferred retirement on a previous Board Agenda b. Member has submitted the Disposition and selected the "defer retirement option" c. Member's status has been changed to "deferred retirement" in PENSIONS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
703.010	Board Reporting	The following rules apply for <b>Regular Retirements</b> for the Board Agenda for the respective month's list: a. Members have already been set up for retirement in PENSIONS. b. Members have a first payment date that falls within the respective Board Agenda month (or before, if the member has not been reported previously as retired).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
703.011	Board Reporting	The following rules apply for <b>Survivors' Continuances</b> for the Board Agenda for the respective month's list: a. Members have already been set up for a continuance in PENSIONS b. Members have a first payment date that falls within the respective Board Agenda month (or before, if the member has not been reported previously as retired).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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## A.27 Actuarial Extract (704)

ReqID	Process	Requirement details	Priority	Meets Requirement?
704.001	Actuarial Extract	The PAS will provide the capability to produce data extract files in native Excel 2003 and later format for the Actuary.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
704.002	Actuarial Extract	The PAS will provide the capability to produce data extract files in fixed field length ascii text file format for the Actuary.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
704.003	Actuarial Extract	The PAS will provide the capability to produce data extract files in delimited ascii text file format for the Actuary.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
704.004	Actuarial Extract	The PAS will provide the capability to define custom file output formats for the files to the Actuary.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
704.005	Actuarial Extract	The PAS will provide the capability to produce data extract files in custom output formats for the Actuary.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
704.006	Actuarial Extract	The PAS will provide the capability to alter the criteria used to extract data for the Actuary without engaging the PAS vendor.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
704.007	Actuarial Extract	The PAS will provide the capability to produce the extract file ww1_actActive.xls, containing data for people who are Active as of the valuation date.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
704.008	Actuarial Extract	The PAS will provide the capability to produce the extract file ww1_actDeferred.xls, containing data for people who are Deferred without reciprocity, Deferred with reciprocity, and Suspended as of the valuation date.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
704.009	Actuarial Extract	The PAS will provide the capability to produce the extract file ww1_actActTerm.xls containing data for people who are Terminated without a deferral as of the valuation date and any cash-outs within the previous year of the valuation date. Any active member who was on a FMLA, Leave without Pay, Leave of Absence, Military Leave or Refunded (after the previous valuation date) is also included in the file.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
704.010	Actuarial Extract	The PAS will provide the capability to produce the extract file ww1_actRetirees.xls, containing data for Retired members who are in payment status as of the valuation date.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO



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ReqID	Process	Requirement details	Priority	Meets Requirement?
704.011	Actuarial Extract	The PAS will provide the capability to produce the extract file ww1_actBeneficiaries.xls, containing data for beneficiaries, surviving spouses, and alternate payees who are in payment status as of the valuation date.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
704.012	Actuarial Extract	The PAS will provide the capability to produce the extract file ww1_actDeath.xls, containing data for people whose payment has stopped within the previous year of the valuation date.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
704.013	Actuarial Extract	The PAS will maintain separation of the various roles a member can have when producing the actuarial extract files. For example, an active member can receive a distribution as a beneficiary. The data behind the two roles must be reported separately in the actuarial extract files.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
704.014	Actuarial Extract	The PAS will provide the capability to report Option values with and/or without TAO.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
704.015	Actuarial Extract	The PAS must be able to report the Option values with and/or without the reductions for repayments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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## A.28 EDMS Integration (705)


### A.28.1 General EDMS Requirements

ReqID	Process	Requirement details	Priority	Meets Requirement?
705.001	EDMS	The PAS will provide EDMS capability to fulfill the objectives and scope of the EDMS process.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.002	EDMS	The EDMS will integrate with, or be a component of, the PAS product.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.003	EDMS	The EDMS will provide the capability to import member-related files at implementation.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.004	EDMS	The EDMS will provide the capability to support an evolutionary adoption of electronic document management and grow with FCERA.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.005	EDMS	The EDMS will provide the capability to include non member-related files (administrative, legal, etc) when FCERA chooses to adopt those documents into the EDMS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.006	EDMS	The EDMS will provide role-based user security.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.007	EDMS	The EDMS will be capable of being hosted on a server remote from the FCERA facility.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.008	EDMS	The EDMS will be capable of being delivered as a Software as a Service (SaaS) model.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.009	EDMS	The EDMS will provide the capability to export and restore the entire EDMS database, as well as the images.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.010	EDMS	The EDMS will provide the capability to print the image of any document to a printer local to the user's computer.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.011	EDMS	The EDMS will provide the capability to print the image of any document to a network printer.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.012	EDMS	The EDMS will be compatible with both single and dual monitor configurations.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.013	EDMS	The EDMS will provide the capability for users with appropriate security to delete documents from the repository.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.014	EDMS	The EDMS will provide the capability to enforce rules-based document retention.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.015	EDMS	The EDMS will provide the capability for non-technical staff at FCERA to modify the document retention rules.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.016	EDMS	The EDMS will provide the capability to retain an abstract of a document and delete the document image.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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## A.28.2 Document Routing Requirements

ReqID	Process	Requirement details	Priority	Meets Requirement?
705.017	EDMS	The EDMS will provide a tailor-able automated workflow where FCERA can change the rules governing the routing of documents.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.018	EDMS	The EDMS will provide the capability for non-technical FCERA staff to modify workflow rules without engaging the vendor.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.019	EDMS	The EDMS will provide manual routing of documents to work groups.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.020	EDMS	The EDMS will provide automatic routing to work groups based on rules that employ document type and other attributes.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.021	EDMS	The EDMS will provide the capability for a user with a Supervisor role to override document routing.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.022	EDMS	The EDMS will provide an audit trail containing all actions on and movements of documents within the workflow.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.023	EDMS	The EDMS audit trail entry will contain, at a minimum, the document id/name, the action taken, the user or process making the action, and timestamp of the action.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.024	EDMS	The EDMS will provide the capability for documents to follow a variety of lifecycle states. At the minimum, documents will be organized by a disposition schedule, and that schedule will have an Active and Retired lifecycle state.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.025	EDMS	The EDMS will be capable of attaching lifecycle states to documents, and these states must be configurable by a system administrator.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.026	EDMS	The EDMS will be capable of promoting and demoting documents to the various lifecycle states via workflow, folder location, or other means.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.027	EDMS	The EDMS will provide the capability for users to route documents manually to one or more users of the EDMS/PAS, using a quick and intuitive function.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.028	EDMS	The EDMS will allow the user to send documents to one or more email recipients.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.029	EDMS	The EDMS routing capability will allow the user to enter a message indicating the purpose of the document.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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### A.28.3 Document Format Requirements

ReqID	Process	Requirement details	Priority	Meets Requirement?			
705.030	EDMS	The EDMS will support importing and storing files of the following types/formats:  MS Word '97 -2011 MS PowerPoint '97 MS PowerPoint 2002 MS Excel'97-2011 Adobe PDF and variants (PDF/A, Compact PDF, searchable PDF, Tiff Plain ASCII text RTF GIF JPEG .WK4 (Lotus Spreadsheet) XML XPS Compact XPS	1	<input type="checkbox"/> YES <input type="checkbox"/> NO			
705.031	EDMS	The EDMS will provide the capability to directly import email messages as txt, pdf, rtf, and/or html.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
705.032	EDMS	The EDMS will provide the capability to directly import email attachments of any supported document type.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
705.033	EDMS	The EDMS will provide the capability to directly import Fax received.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
705.034	EDMS	The EDMS will provide the capability to identify documents that have an encoded document identifier such as a printed on the document.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			


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#### A.28.4 Sizing, Capacity & Performance Requirements


ReqID	Process	Requirement details	Priority	Meets Requirement?
705.035	EDMS	The EDMS will provide the capability to import incrementally the entire member 'back file', consisting of approximately 913,000 sheets.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.036	EDMS	The EDMS will be capable of accommodating 10 million sheets with no user-perceived performance degradation of the PAS or EDMS.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.037	EDMS	The EDMS will be capable of accommodating an annual files growth of at least 25,000 sheets per year.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.038	EDMS	The EDMS solution must be sized at implementation to accommodate at least 3 million sheets.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.039	EDMS	The EDMS will be capable of operating with no user-perceivable impact to normal PAS operations.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

#### A.28.5 Document Input and Scanning Requirements


ReqID	Process	Requirement details	Priority	Meets Requirement?
705.040	EDMS	The EDMS will provide the capability to scan various paper sizes: US Letter, US Legal, loose leaf, #10 envelopes, #6 ½ envelopes, index cards 3 ½ x 5, 4x6, 4x5, partial sheets, and others.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.041	EDMS	The EDMS will provide the capability to scan and store single-sided and double-sided sheets.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.042	EDMS	The EDMS will provide the capability to scan various paper weights, 16#, 20#, card stock, onion, envelopes.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.043	EDMS	The EDMS will provide the capability to scan various paper colors (white, pastels).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.044	EDMS	The EDMS will provide the capability to scan various ink colors (black commercial, black laser, blank inkjet, colored inkjet, handwriting in black, blue, red, etc).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.045	EDMS	The EDMS will provide the capability to scan sheets with hole-punches on top, bottom, and/or sides without jamming.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.046	EDMS	The EDMS will provide the capability to scan Scanning various print resolutions (commercial print, laser print, ink jet print, handwriting).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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705.047	EDMS	The EDMS will provide and automated Document feeder to support scanning.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.048	EDMS	The EDMS will provide the capability to scan documents with taped appendages such as post-its, calculator tapes, hand-written notes, etc.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.049	EDMS	<p>The EDMS will provide the capability for FCERA to use four potential methods of populating the document repository:</p> <ul style="list-style-type: none"> <li>• Users will create documents in the repository directly, either from the PAS user interface, or the EDMS user interface</li> <li>• Users will import soft copy documents into the repository</li> <li>• A document librarian will scan hard copy documents using image capture software and will release the image into the repository</li> <li>• A technical resource will batch import documents into the EDMS using a script and index file.</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.050	EDMS	The EDMS will be capable of 10,000 sheets per day peak throughput and a normal daily throughput of 500 sheets.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.051	EDMS	<p>The EDMS scanning capability must meet the following requirements:</p> <ul style="list-style-type: none"> <li>• Ability to perform batch scanning</li> <li>• Ability to assign customizable batch names</li> <li>• Allow batch import into EDMS</li> <li>• Automated indicator for inferior quality scanned document that falls below a given tolerance or the inability to read a barcode</li> <li>• Ability to read barcodes to populate document attributes</li> <li>• Ability to perform OCR</li> <li>• Ability to employ image enhancement tool such as Virtual ReScan (VSR)</li> <li>• Ability to rescan of single document within a batch</li> <li>• Ability to insert a page within a document</li> <li>• Ability to import TIFF and native format documents originating from sources outside the EDMS</li> <li>• Ability to save multiple scanner setting files</li> <li>• Ability to automatically correct for upside-down, rotated, and skewed documents</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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705.052	EDMS	The EDMS will provide the capability to place freshly scanned document images in Incoming document folders: <ul style="list-style-type: none"> <li>• Bulk Import folder</li> <li>• Scanned Documents folder</li> <li>• Exceptions folder</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.053	EDMS	The EDMS will provide the capability to index files in the Incoming document folder(s) and move them to the proper location in the repository.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.054	EDMS	The EDMS will provide the capability to read and interpret a barcode located anywhere on a document.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.055	EDMS	The EDMS will provide the capability to read and interpret a barcode forward and/or backward.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.056	EDMS	The EDMS will provide the capability to read and interpret barcodes of varying sizes on documents.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.057	EDMS	The EDMS will provide the capability to interpret a barcode checksum and use the checksum to validate the barcode that was read.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.058	EDMS	The EDMS will provide the capability to interpret a barcode skewed up to 20 degrees from vertical or horizontal on the sheet.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.059	EDMS	The EDMS will provide the capability to interpret a barcode on documents and automatically index the document based on the values encoded in the barcode.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.060	EDMS	The EDMS will provide the capability for the user to view documents in the Incoming folders prior to indexing and filing, although the documents may not yet be accessible from the PAS environment.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.061	EDMS	The EDMS will provide the capability for users to create documents in the repository via the PAS user interface and/or the EDMS user interface.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.062	EDMS	The EDMS will provide the capability to create documents in repository using an existing template that is also in the repository.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.063	EDMS	The EDMS will provide the capability to create new templates in the repository.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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### A.28.6 Search, Browse, and Retrieval

ReqID	Process	Requirements Details	Priority	Meets Requirement?
705.064	EDMS	The EDMS will provide the capability to retrieve documents from the repository using document attributes and/or combinations of attributes as search criteria.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.065	EDMS	The EDMS search capabilities will allow searching by SSN, with or without dashes, to be the primary search criteria for retrieving documents.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.066	EDMS	The EDMS will provide the capability for users to search on annotations, comments and redactions that are associated with a document, folder, or group of documents.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.067	EDMS	The EDMS will provide the capability for users to browse the documents stored in the EDMS based on their user access permissions.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.068	EDMS	The EDMS will provide the capability to search using any combination of record and/or folder metadata elements <i>utilizing full text search</i>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.069	EDMS	The EDMS will provide the capability to specify partial matches and will allow designation of "wild card" fields or characters	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.070	EDMS	The EDMS will provide the capability to search using Boolean and relational operators: "and," "and not," "or," "greater than" (>), "less than" (<), "equal to" (=), and "not equal to" (<>), and provide a mechanism to override the default (standard) order of operator precedence	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.071	EDMS	The EDMS will present the user a list of documents and/or folders meeting the retrieval criteria, or notify the user if there are no document and/or folders meeting the retrieval criteria.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.072	EDMS	The EDMS will provide the capability for the user to select and order the columns presented in the search results list for viewing, transmitting, printing, etc.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.073	EDMS	The EDMS will provide the capability to search for null or undefined values	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.074	EDMS	When the user selects a record for retrieval, the EDMS will present a list of available versions, defaulting to the latest version of the record for retrieval, but allowing the user to select and retrieve any version.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.075	EDMS	The EDMS will provide the capability for the user to select any number of documents for retrieval from the search results list.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.076	EDMS	The EDMS will provide the capability to abort a search.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO




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### A.28.7 Document Editing Requirements


ReqID	Process	Requirement Details	Priority	Meets Requirement?			
705.077	EDMS	The EDMS will open documents in the repository as view-only as the default.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
705.078	EDMS	The EDMS will provide the capability for the user to edit documents in the repository.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
705.079	EDMS	The EDMS will provide the capability for the user to save an edited document as a new version of the document.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
705.080	EDMS	The EDMS will prompt the user to confirm the next sequential version number of the document prior to completing the save operation.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
705.081	EDMS	The EDMS will provide major and minor version numbers (1.0, 1.1, 1.2, 2.0, 2.1, etc for example)	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
705.082	EDMS	The EDMS will provide the capability for the user to override the suggested next sequential version number to be a custom value when necessary.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
705.083	EDMS	The EDMS will prevent other users from making changes to a document that has been opened for editing. While others can view and print the document, only the user who has opened the document for editing can make/save changes to the document.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
705.084	EDMS	The EDMS will provide an override capability available to user with proper permission to release documents that may be been locked for editing accidentally, so that other users may edit the document.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		

### A.28.8 Folder and Document Attributes


ReqID	Process	Requirement details	Priority	Meets Requirement?	
705.085	EDMS	The EDMS will employ a folder-based repository with a look and feel similar to Microsoft Outlook and Microsoft Windows.	1	<input type="checkbox"/> YES	<input type="checkbox"/> NO

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705.086	EDMS	<p>The EDMS will support a simple Folder Tree such as the following</p> <pre> Benefit Unit  →Members     →Name-SSN-Role        →Document 3        →etc...        →Document n     →Name-SSN     →etc... Legal Admin Disability Other categories </pre>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.087	EDMS	<p>The EDMS will provide the following folder attributes, at a minimum</p> <ul style="list-style-type: none"> <li>• Name [Folder Name]</li> <li>• Title</li> <li>• Keywords</li> <li>• Folder Type</li> <li>• Last Modified (mm/dd/yyyy)</li> <li>• Checked Out by</li> <li>• Lifecycle state</li> <li>• Retention rules</li> <li>• Permissions</li> <li>• Member Last Name</li> <li>• Member First Name</li> <li>• Member SSN (###-##-####)</li> <li>• Member Status</li> <li>• Member Classification</li> <li>• Member Type/Role</li> <li>• Member Date of Birth</li> <li>• Associated SSN</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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705.088	EDMS	<p>The EDMS will name folders using the following convention, or similar: Folder Display name = Last Name + last four digits of SSN + member/non-member designation. For example, John Smith, SSN = 999-00-1234, a member, would have the folder named: Smith_1234_MBR. If John Smith were also receiving benefits as a beneficiary, there would be a second folder named Smith_1234_BEN.</p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.089	EDMS	<p>The following list details the attributes for the <b>member</b> folders:</p> <ul style="list-style-type: none"> <li>• Folder Display name = Last Name + last four digits of SSN + member/nonmember designation. For example, John Smith, SSN = 999-00-1234, a member, would have the folder named: Smith_1234_MBR. If John Smith were also receiving benefits as a beneficiary, there would be a second folder named Smith_1234_BEN.</li> <li>• Last Name</li> <li>• First Name</li> <li>• SSN (###-##-####)</li> <li>• Date of Birth (MM/DD/YYYY)</li> <li>• Member status (Active, Retired, Inactive, Terminated, Deceased, Disabled, Deferred)</li> <li>• Member Classification (General, Safety)</li> <li>• Member Type/Role (Member, Beneficiary, Alternate Payee)</li> <li>• Associated SSN(s) (for beneficiaries, in order to link them to the member) (###-##-####)</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.090	EDMS	<p>The EMDS will provide the following Document attributes, at a minimum:</p> <ul style="list-style-type: none"> <li>• Document Name</li> <li>• Title</li> <li>• Keywords</li> <li>• Document Type</li> <li>• Lifecycle state</li> <li>• Last Modified (mm/dd/yyyy)</li> <li>• Checked out by</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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		<ul style="list-style-type: none"> <li>• Retention rules</li> <li>• Permissions</li> <li>• Member Last Name</li> <li>• Member First Name</li> <li>• Member SSN (###-##-####)</li> </ul>		
705.091	EDMS	The EDMS will provide the capability for the user to edit the attributes of folders and documents, such as for member name changes (which happens often, due to marriage and divorce).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.092	EDMS	The EDMS will employ inheritance for attributes so that documents within the member folders will inherit attributes from the folder containing them. For example, a change to a member's name will be reflected in the attributes of the folder as well as the attributes of the documents within the folder.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.093	EDMS	The EDMS will provide the capability to rename folders and documents in response to a member's name change (which happens often, due to marriage and divorce).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.094	EDMS	The EDMS will employ inheritance for folder names so that documents within the member folders will inherit changes to the name of the folder containing them. For example, a change to a member's name or SSN will be reflected in the name of the folder as well as the name of the documents within the folder.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.095	EDMS	The EDMS will provide the capability to produce an audit log of all changes to document names and attributes, and folder names and attributes.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.096	EDMS	The EDMS will provide the capability to associate searchable attributes to all documents.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.097	EDMS	<p>The EDMS will name documents using the following convention, or similar:</p> <p><b>DocumentType_LastName_LastFourDigitsSSN</b></p> <p>For example, an Application for Retirement for John Smith, SSN 456-67-5567, would be named:</p> <p><b>Application_for_Retirement_Smith_5567</b></p>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.098	EDMS	The EDMS will support storage of non-member payee files in their own folders, linked to member files and vice versa. (Recall that FCERA does not split accounts to accommodate non-member payees)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.099	EDMS	The EDMS will provide the capability for a FCERA user to set up new folders within the repository (for new members, as an example).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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705.100	EDMS	The EDMS will provide the capability to interpret barcodes on documents and populate the document attributes with values encoded in the barcode.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
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## A.28.9 Document Security Requirements

ReqID	Process	Requirement Details	Priority	Meets Requirement?						
705.101	EDMS	The EDMS will provide a flexible model of groups, subgroups, and roles to facilitate the proper security and functional access to the documents.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO						
705.102	EDMS	<p>The EDMS will provide the following permission levels on documents</p> <ul style="list-style-type: none"><li>• No access – The user cannot see that the object exists.</li><li>• Browse – The user can see the document’s name but cannot view the document.</li><li>• Read – The user can view the properties and content.</li><li>• Annotate – The user can annotate the document.</li><li>• Version – The user can modify properties and content, but must create a new version of the document to effect the change.</li><li>• Edit – The user can modify properties and content and save as the same version.</li><li>• Delete – The user can delete the document</li></ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO						
705.103	EDMS	<p>The EDMS will provide the following User Security Groups to facilitate the application of proper security and functional access to the documents.</p> <table><tr><th>Role at FCERA</th><th>Description</th></tr><tr><td>Benefits Unit and support staff</td><td>The group of individuals that work within Benefits</td></tr><tr><td>Office Assistants (OA)</td><td>The group of individuals responsible for the general files associated with a member<sup>1</sup></td></tr></table>	Role at FCERA	Description	Benefits Unit and support staff	The group of individuals that work within Benefits	Office Assistants (OA)	The group of individuals responsible for the general files associated with a member <sup>1</sup>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
Role at FCERA	Description									
Benefits Unit and support staff	The group of individuals that work within Benefits									
Office Assistants (OA)	The group of individuals responsible for the general files associated with a member <sup>1</sup>									

<sup>1</sup> TBD: FCERA should consider if access to Member files need to be stratified within the Benefits Unit, so that senior staff members have more access/privilege than junior staff members

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ReqID	Process	Requirement Details		Priority	Meets Requirement?
		FCERA IT Administrators & Manager	Individuals that have administrative rights to the system		
		FCERA Management	Individuals responsible for managing the Operations group		
		Records Manager	Individuals responsible for disposition of records <sup>2</sup>		
		Records Librarian	Individuals responsible for file maintenance		
		Accounting Unit	Individuals responsible for transaction reconciliation that may need to access a member file <sup>3</sup>		
		Clerical Support	Individuals who scan documents into the system		
		Outside Auditors	Read-only access for audit services		
705.104	EDMS	The EDMS will provide the capability for Administrators with the proper permissions to add or delete groups, change the permissions for groups, and assign individual users to groups at any time.		2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.105	EDMS	The EDMS will allow individual users to be members of more than one group, in which case the users will inherit the least restrictive privileges of all groups in which they are members.		2	<input type="checkbox"/> YES <input type="checkbox"/> NO

### A.28.10 Annotation Requirements

ReqID	Process	Requirement details	Priority	Meets Requirement?
705.106	EDMS	The EDMS must offer an <b>annotation</b> tool. This application must be universal to all files in the repository; it must open any document format supported by the system.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO

<sup>2</sup> The Records Manager will have the greatest level of access and authority over ALL FCERA documents.


<sup>3</sup> TBD: Accounting will need to be able to view some member documents in order to process adjustments to 1099R, for example.

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ReqID	Process	Requirement details	Priority	Meets Requirement?
705.107	EDMS	<p>The EDMS must have the following functionality regarding annotation:</p> <ul style="list-style-type: none"> <li>• The user must be able to add a comment of unlimited length in a text box that is visibly attached to any point in the document.</li> <li>• Username, date, and time stored automatically with the comment</li> <li>• The user must be able to strike-out using a line tool</li> <li>• The user must be able to redact (black out content) a document without changing the original content</li> <li>• The user must be able to use a circle or square tool to place a border of variable size in the document</li> <li>• The user must be able to change the color of the square or circle</li> <li>• The user must be able to highlight text</li> <li>• The user will be able to view or suppress the annotations</li> <li>• The user will be able to print the document with or without annotations</li> <li>• The application will be able to apply security to the annotations</li> </ul>	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.108	EDMS	The EDMS will provide the capability to save an annotated (or otherwise changed) document as new version of the document	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.109	EDMS	The EDMS will be able to use its full text search feature to search on comments stored as annotations. The EDMS will return the search results in annotations in the same method as search the document itself.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

#### A.28.11 Index File Requirements


ReqID	Process	Requirement details	Priority	Meets Requirement?
705.110	EDMS	The EDMS will interpret an index file per specification.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.111	EDMS	The EDMS will produce index file per specification.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO

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### A.28.12 Required FCERA Documents

ReqID	Process	Requirement details	Priority	Meets Requirement?
705.112	EDMS	<p>The EDMS will scan and store the following FCERA <b>Affidavits</b> documents</p> <ul style="list-style-type: none"> <li>• Death Affidavit</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.113	EDMS	<p>The EDMS will scan and store the following FCERA <b>Applications</b> documents</p> <ul style="list-style-type: none"> <li>• Application for Disability</li> <li>• Application for Service Retirement</li> <li>• Application for Retirement</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.114	EDMS	<p>The EDMS will scan and store the following FCERA <b>Authorizations</b> documents</p> <ul style="list-style-type: none"> <li>• Authorization for Disclosure and Use of Protected Health Insurance Information</li> <li>• Information release for REFCO, Unions, IRC415b</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.115	EDMS	<p>The EDMS will scan and store the following FCERA <b>Banking</b> documents</p> <ul style="list-style-type: none"> <li>• Direct Deposit EFT Boston Safe Deposit request forms</li> <li>• Member's banking institution change</li> <li>• Direct Deposit forms</li> <li>• Participant Payment Report</li> <li>• Stop, Cancel, Void request (Fifth Third Bank)</li> <li>• Bank of New York Check Register</li> <li>• Copies of checks</li> <li>• Payment Summary (copies of Check stub)</li> <li>• Pension &amp; Periodic Payment Authorization (Boston Safe Deposit &amp; Trust)</li> <li>• Form 1099R</li> <li>• Participant Payee Authorization Sheet</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO




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ReqID	Process	Requirement details	Priority	Meets Requirement?
		<ul style="list-style-type: none"> <li>• Wells Fargo payment change request</li> <li>• Pension Participant Check Ledger Detail Report</li> <li>• Participant Payment Report</li> <li>• Pension payment request Form</li> <li>• ACH Return item report</li> </ul>		
705.116	EDMS	<p>The EDMS will scan and store the following FCERA <b>Beneficiary</b> documents</p> <ul style="list-style-type: none"> <li>• Beneficiary Change Forms</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.117	EDMS	<p>The EDMS will scan and store the following FCERA <b>Certificates</b> documents</p> <ul style="list-style-type: none"> <li>• Birth Certificate</li> <li>• Death Certificate</li> <li>• Marriage Certificate</li> <li>• Driver's License</li> <li>• SSN Card</li> <li>• Wedding certificate, signed</li> <li>• Baptismal Certificate</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.118	EDMS	<p>The EDMS will scan and store the following FCERA <b>Correspondence</b> documents</p> <ul style="list-style-type: none"> <li>• Annual Member Benefit Statements</li> <li>• Letter stating Retirement Contribution Balances</li> <li>• Memo in response to member request</li> <li>• Letters from Members</li> <li>• Letter to member regarding refund ineligibility for extra help</li> <li>• Letter to the member when limitation has been reached and County subsidy is to start</li> <li>• Misc letters to members</li> <li>• Lifetime Benefit Letter</li> <li>• Email</li> <li>• Faxes</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
705.119	EDMS	The EDMS will scan and store the following FCERA <b>Disability Documents</b> <ul style="list-style-type: none"> <li>• Report for Occupational Injury or Illness</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.120	EDMS	The EDMS will scan and store the following FCERA <b>Divorce Documents</b> <ul style="list-style-type: none"> <li>• Divorce settlement document</li> <li>• Joinder</li> <li>• DRO</li> <li>• Decree (also called Judgment)</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.121	EDMS	The EDMS will scan and store the following FCERA <b>Employment Documents</b> <ul style="list-style-type: none"> <li>• Employees Pay Summary Inquiry</li> <li>• Employer/employee statements</li> <li>• Reciprocity Documents</li> <li>• Letter to member confirming reciprocity.</li> <li>• Reciprocity denial letter (Outgoing)</li> <li>• Intersystem Membership Advice</li> <li>• Earn Codes</li> <li>• Employee History Card</li> <li>• Contributions History</li> <li>• Tier Enrollment</li> <li>• Tax Withholding Election Form for Excess Contributions</li> <li>• Corrections and instructions to County Personnel</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.122	EDMS	The EDMS will scan and store the following FCERA <b>Estates and Trusts</b> documents <ul style="list-style-type: none"> <li>• Family Trusts</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.123	EDMS	The EDMS will scan and store the following FCERA <b>Estimates &amp; Calculations</b> documents <ul style="list-style-type: none"> <li>• Buyback research</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
		<ul style="list-style-type: none"> <li>• Research</li> <li>• Notice of Final Compensation Recalculation</li> <li>• Salary verification for contribution adjustment</li> <li>• Calc Summary</li> <li>• Calc Audit Trail</li> <li>• Estimate letter</li> <li>• Request for Retirement Benefit Estimates</li> <li>• IRC415b Calculations</li> <li>• Age Adjustment Excel print</li> <li>• Audit trail which shows the age used for calculation</li> <li>• Member's Social Security estimate, if electing temporary annuity.</li> <li>• TAO Calculation</li> <li>• TAO Interest Calculation</li> <li>• Request for calculation of retirement allowance</li> <li>• Calculation of General Contributions</li> </ul>		
705.124	EDMS	<p>The EDMS will scan and store the following FCERA <b>Excel prints</b> documents</p> <ul style="list-style-type: none"> <li>• various prints from excel</li> <li>• FCERA Pension Payment Form</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.125	EDMS	<p>The EDMS will scan and store the following FCERA <b>File Notes</b> documents</p> <ul style="list-style-type: none"> <li>• Handwritten notes on thin yellow paper</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.126	EDMS	<p>The EDMS will scan and store the following FCERA <b>File separators</b> documents</p> <ul style="list-style-type: none"> <li>• TERM/DEFER</li> <li>• MEMBERSHIP INFORMATION</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.127	EDMS	<p>The EDMS will scan and store the following FCERA <b>Internal forms</b></p> <ul style="list-style-type: none"> <li>• Clerical instruction forms</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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ReqID	Process	Requirement details	Priority	Meets Requirement?
705.128	EDMS	The EDMS will scan and store the following FCERA <b>Interoffice Memos</b> documents <ul style="list-style-type: none"> <li>• Interoffice memo - payroll deductions</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.129	EDMS	The EDMS will scan and store the following FCERA <b>Legal Documents</b> <ul style="list-style-type: none"> <li>• Legal &amp; Confidential Correspondence</li> <li>• Legal Opinions</li> <li>• Durable Power of Attorney and Nomination of Conservator</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.130	EDMS	The EDMS will scan and store the following FCERA <b>Member Information</b> documents <ul style="list-style-type: none"> <li>• FCERA Name and Address Change</li> <li>• Postal Name and Address Change</li> <li>• Name and Address Change Memo</li> <li>• Membership Information Card</li> <li>• ZIP Code lookup screen print</li> <li>• Request for change of beneficiary (legacy)</li> <li>• Enrollment Card</li> <li>• Employee Status Report</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.131	EDMS	The EDMS will scan and store the following FCERA <b>Other Documents</b> <ul style="list-style-type: none"> <li>• Dues</li> <li>• Current Account Balances</li> <li>• Tracking checklist</li> <li>• Yellow notes sheet</li> <li>• Agreement to Pay</li> <li>• Memo to payroll</li> <li>• Disability separator</li> <li>• FCERA Request Form</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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705.132	EDMS	<p>The EDMS will scan and store the following FCERA <b>Payroll Documents</b></p> <ul style="list-style-type: none"> <li>• Payroll Calculations worksheet</li> <li>• Summary of Leave Payoff at Termination</li> <li>• Check register</li> <li>• Receipt of payment of health Insurance premium</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.133	EDMS	<p>The EDMS will scan and store the following FCERA <b>Purchase &amp; Repayment</b> documents</p> <ul style="list-style-type: none"> <li>• Service Purchase Forms</li> <li>• Service Purchase Contracts</li> <li>• Receipt of payment</li> <li>• Repayment agreement</li> <li>• Retired member Was/Is receiving allowance</li> <li>• Retired member Was/Is receiving allowance</li> <li>• Continuance forms</li> <li>• Request for Disposition of Member's retirement Contributions</li> <li>• Application for Retirement FCAC-252 (3/85)</li> <li>• Election of Retirement Allowance</li> <li>• Letter to Actuary at member retirement</li> <li>• Supplemental Cost of Living Adjustment</li> <li>• TAO Benefit</li> <li>• 9729 Underpayment</li> <li>• Retirement Calculation</li> <li>• COL Worksheet</li> <li>• Interest Calculation Worksheet</li> <li>• Retiree Health Insurance mass change listing</li> <li>• Social Security Estimate</li> <li>• Letter from Actuary with benefit amounts</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.134		The EDMS will scan and store the following FCERA <b>Retirement</b> documents	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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ReqID	Process	Requirement details	Priority	Meets Requirement?
		<ul style="list-style-type: none"> <li>Retired member Was/Is receiving allowance</li> <li>Continuance forms</li> <li>Request for Disposition of Member's retirement Contributions</li> <li>Application for Retirement FCAC-252 (3/85)</li> <li>Election of Retirement Allowance</li> <li>Letter to Actuary at member retirement</li> <li>Supplemental Cost of Living Adjustment</li> <li>TAO Benefit</li> <li>9729 Underpayment</li> <li>Retirement Calculation</li> <li>COL Worksheet</li> <li>Interest Calculation Worksheet</li> <li>retiree Health Insurance mass change listing</li> <li>Social Security Estimate</li> <li>Letter from Actuary with benefit amounts</li> </ul>		
705.135	EDMS	<p>The EDMS will scan and store the following FCERA <b>Screen Prints</b> documents</p> <ul style="list-style-type: none"> <li>PENSIONS screens</li> <li>Peoplesoft screens</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
705.136	EDMS	<p>The EDMS will scan and store the following FCERA <b>Tax Withholding</b> documents</p> <ul style="list-style-type: none"> <li>IRS W4</li> <li>DE 4P</li> <li>DE 4P</li> <li>FCERA Withholding</li> <li>Boston Company Withholding</li> <li>State Withholding, request for other states</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

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## A.29 Member Portal (710)

ReqID	Process	Requirement details	Priority	Meets Requirement?
710.001	Member Portal	The Member Portal will provide self-service capability to members for a number of routine tasks that would normally require the member to call FCERA.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.002	Member Portal	Access to the Portal will be via secure sign-on with a username/password.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.003	Member Portal	The Portal will provide authentication techniques to ensure the member requesting sign-on credentials is in fact an FCERA member. Authentication techniques can include SSN, a series of security questions, image keys, account numbers, or combinations of these techniques.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.004	Member Portal	The Portal will authenticate the request for initial username/password prior to allowing the user to create a username/password to access the Portal. For active members, the member's SSN is unique and can be used to obtain a username/password for the Portal. For retirees and payees, SSN is not sufficient as a unique identifier, as an individual can receive payments as a retiree, a survivor/beneficiary, and/or an alternate payee. The payee's name plus either location code and/or date of retirement is the unique key for retirees and payees.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.005	Member Portal	Once the initial sign-on is successful, the Portal will allow the user to choose a unique username to use for subsequent sign-on.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.006	Member Portal	The Portal will provide the capability for the member to create his/her own username and password. Once the initial sign-on is successful, the user will choose a unique username to use for subsequent sign-on.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.007	Member Portal	The Portal will provide the capability for the member to change the username at any time once signed-on.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.008	Member Portal	The Portal will require the member to obtain a new password if sign-on fails three consecutive times within a short period of time. The number of failed attempts and the period of time allotted will be configurable by FCERA.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.009	Member Portal	The Portal will reset the counter for unsuccessful sign-ons to zero upon a successful login.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


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ReqID	Process	Requirement details	Priority	Meets Requirement?
710.010	Member Portal	The Portal will provide the capability for the member to establish a new username if the member has forgotten the username. Re-establishing a username will require that the user be authenticated again.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.011	Member Portal	The Portal will provide the capability for the member to change the password and/or username at any time once signed-on successfully.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.012	Member Portal	The Portal will require that a new user agree to the terms of an End User Agreement before the user can create a username/password to the Portal.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.013	Member Portal	The Portal will employ role-based security schemes to control access to information.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.014	Member Portal	Passwords to the Portal will be compliant with California information security regulations regarding secure passwords	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.015	Member Portal	The Portal will provide the capability for members to view their name and address information on file at FCERA. Addresses will be current in the PAS for retired, deferred, active special district members, and inactive members. Address information for Active County members will be imported to the PAS from Peoplesoft bi-weekly. Addresses for Special District Members will be updated manually in the PAS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.016	Member Portal	The Portal will provide the capability for members to view their beneficiary data on file at FCERA.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.017	Member Portal	The Portal will provide the capability for members to view data from their membership card on file at FCERA.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.018	Member Portal	The Portal will provide the capability for retired members to view their own payment data, current as of the last refresh.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.019	Member Portal	The Portal will provide the capability for alternate payees and recipients of survivor continuances to view their own payment data, current as of the last refresh.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.020	Member Portal	The Portal must be able to discern how an individual is linked to master member account(s).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.021	Member Portal	The Portal will provide the capability for active, deferred, and inactive members to view contribution and interest balance, both taxable and nontaxable, current as of the last refresh.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
710.022	Member Portal	The Portal will provide members with a basic benefit calculator. The basic benefit calculator will use the member's information available from the PAS that is appropriate to the calculation. The basic benefit calculator will allow members to do 'what if' calculations. The basic benefit calculator will accept manual inputs for final compensation, years of service, and age at retirement, and then produce an estimated benefit amount.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO




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ReqID	Process	Requirement details	Priority	Meets Requirement?			
710.023	Member Portal	The Portal will provide members with a reverse benefit calculator. The reverse benefit calculator will accept the member's desired pension amount at retirement and then calculate what is required in terms of age, service, and final compensation to achieve that amount. The reverse benefit calculator will allow members to do 'what if' calculations. The reverse benefits calculator will use any information available from the PAS that is appropriate to the calculation and also provide the option to include a service credit purchase in the calculation.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
710.024	Member Portal	The Portal will provide members with a contributions calculator to help the member estimate the amount the employer will be taking out of the paycheck for FCERA contributions. The contributions calculator will use any information available from the PAS that is appropriate to the calculation.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
710.025	Member Portal	The Portal calculators will present the results in such a way that the member knows what the estimates are based upon.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
710.026	Member Portal	The Portal will provide the capability for the member to print the results presented by the calculators.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
710.027	Member Portal	The Portal will operate from replicated data refreshed from the PAS, usually each business day. The refresh schedule will be maintained by FCERA. All data presented on the Portal will come from the PAS/EDMS and no other source.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
710.028	Member Portal	The Portal will display the date and time of the last data refresh once the member has signed-on successfully.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
710.029	Member Portal	The Portal will provide FCERA system administration personnel with role-based capabilities to maintain the Portal. Such privileged tasks include locking members out of the Portal, resetting Portal passwords for members, creating username/password on behalf of a member, and other tasks normally delegated to system administrators and help desk roles.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
710.030	Member Portal	The Portal will provide secure/encrypted transmission of all data on the Portal, including authentication and sign-on credentials.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
710.031	Member Portal	The Portal will provide capabilities to authenticate a user who has called FCERA for technical support. The support personnel may need to have access to the member's authentication tools (security questions, image keys, etc) within the Portal in order to authenticate a caller	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			

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710.032	Member Portal	The Portal will provide members with the capability to access reprints of 1099R forms for any year on file.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
710.033	Member Portal	The Portal will provide the capability to obtain 1099R prints via a hyperlink to the Bank where the member can login to request the reprint.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
710.034	Member Portal	The Portal will allow retirees and others who are receiving a lifetime benefit to request the FCERA Lifetime Benefit Letter. The letter will be produced internally from data within the PAS when a request is received from the Portal and forwarded to a Retirement Coordinator.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
710.035	Member Portal	The Portal will allow a member to request a counseling session with a Retirement Coordinator. The request will be sent via email from a data entry form on the Portal. The data entry form will provide fields for the member to enter contact information and the nature of the request.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
710.036	Member Portal	The email containing the request for a counseling session will be routed to a Retirement Coordinator who will schedule the session and inform the member. The Retirement Coordinator will enter the counseling session in the PAS.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
710.037	Member Portal	When the counseling session is scheduled in the PAS, the date and time of the session will show on the member's Portal page, along with the name of the Retirement Coordinator with whom the member will meet.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
710.038	Member Portal	The Portal will provide the capability for a member to generate basic Benefit Statements as of 12/31 of the current year and/ or any prior year.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
710.039	Member Portal	The Portal will provide a link to the Bank's portal where Banking documents are available to retiree members, alternate payees, and recipients of survivor continuances.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			

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ReqID	Process	Requirement details	Priority	Meets Requirement?			
710.040	Member Portal	Check Advices are produced and stored at the Bank. The Portal will provide the capability for payees to obtain a copy of a Check Advice via a link to the Bank, where the member will login to request the Check Advice.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
710.041	Member Portal	The Portal will provide a link to the Bank for the member to view federal and state tax withholding information. The State shown for withholding will be the State of the address at the Bank for the member. Withholding information is not available for international addresses.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
710.042	Member Portal	The Portal will provide the capability for the member to print a Form W4P, which the member will complete, sign, and mail to change withholding information.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
710.043	Member Portal	The Portal capability will not preclude programmatic access to Banking documents in the future.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
710.044	Member Portal	The Portal will not preclude the serving of images of Banking document from an in-house EDMS in the future.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
710.045	Member Portal	The Portal will provide capabilities to alternate payee as well as members to access Banking information. The information available via the Portal to alternate payees may be more limited than the information available to members.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
710.046	Member Portal	<p>The Portal will provide the member with commonly-requested information about the member's account, such as shown in the list below, for example.</p> <ul style="list-style-type: none"> <li>a. What Tier am I contributing at?</li> <li>b. What is my current Final Compensation?</li> <li>c. What are my breaks in service (Portal must state that this data is unverified until retired)?</li> <li>d. Who are my beneficiaries on file at FCERA?</li> <li>e. What documents do I have on file? Birth certificate, death certificate, DROs, marriage certificate, etc</li> <li>f. For retirees, what Retirement Option did I choose and who is receiving what benefit?</li> <li>g. For retirees, by how much is the Temporary Annuity Option increasing my retirement benefit, and for how long?</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			

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		h. Member's employment history i. Date of member's original membership. j. Member's dates of service at each employer. k. All types of Service purchases and purchases pending					
710.047	Member Portal	The Portal will advise the member to contact FCERA if information is incorrect.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
710.048	Member Portal	The Portal will provide the capability for FCERA staff to change the look of the Portal for consistent branding with <a href="http://www.fcera.org">www.fcera.org</a>	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
710.049	Member Portal	The Portal will use vocabulary that is member-friendly where possible. However, vocabulary used on the portal must abide by IRS wording, where applicable.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
710.050	Member Portal	The Portal will provide the capability to display an image of a Plan Sponsors' paystubs to a member with explanations of items on paystub.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
710.051	Member Portal	The Portal will provide accessibility to members who may be unable to discern color. Choices that the user/member must make on the Portal will be depicted by color and text, if color is used at all.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
710.052	Member Portal	The Portal will provide accessibility to members who are seeing-impaired.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
710.053	Member Portal	The Portal will provide the capability for the user to change the size of the font used to display content.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
710.054	Member Portal	The Portal will provide the capability to zoom in/out on content displayed as a pdf or image.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
710.055	Member Portal	The Portal will provide accessibility to members who are not proficient with English. The Portal will provide the member with the option to display the content in English, Spanish, and/ or Hmong.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
710.056	Member Portal	The Portal will provide the capability for the member to affix an electronic signature to documents.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>


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710.057	Member Portal	Where forms are particular to a member's account, the Portal will provide editable PDF forms where the member can either complete the form on-screen and print it, or print the empty form and complete it by hand. (Forms that are not particular to the member's account are available on <a href="http://www.fcera.org">www.fcera.org</a> )	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
710.058	Member Portal	The Portal capability will not preclude direct update of member information in the future. When such capability is appropriate to FCERA's evolution, any updates submitted by the Portal user will require internal review prior to being updated in the PAS.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
710.059	Member Portal	Future capability for file uploads from the Portal could include scanned documents, photos, and other digital files as deemed appropriate.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
710.060	Member Portal	The Portal will be capable of integrating with EDMS functionality to display member file documents to the member on the Portal.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>


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### A.30 Reporting (800)

ReqID	Process	Requirements detail	Priority	Meets Requirement?			
800.001	Reporting	FCERA requires a full-function business Reporting tool.	1	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.002	Reporting	The Reporting solution will integrate with, and be accessible from, the PAS.	1	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.003	Reporting	The Reporting solution will integrate with, and be accessible from, the EDMS.	1	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.004	Reporting	The Reporting solution will integrate with the Member Portal functionality to deliver dynamic content, where appropriate.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
800.005	Reporting	The Reporting solution will operate with the same relational database product that the PAS, Member Portal, and EDMS use (Microsoft SQLServer or Oracle).	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
800.006	Reporting	The Reporting solution will operate in a Microsoft Windows environment with TCP/IP networking.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.007	Reporting	The Reporting solution will support the reporting volumes of a mid-size organization.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.008	Reporting	The Reporting solution will not impact the computing performance of the PAS, EDMS, or Member Portal in any way as perceived by the users.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.009	Reporting	The Reporting solution will provide the capability to design new reports from a blank template.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.010	Reporting	The Reporting solution will provide the capability to design new reports based on a copy of an existing report definition.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.011	Reporting	The Reporting solution will provide the capability for the user to specify the content for reports, using any data field in the PAS/EDMS/Portal databases.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		


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800.012	Reporting	The Reporting solution will provide the capability for the user to specify the query conditions for reports, using any data field in the PAS/EDMS/Portal databases. All sql-standard logical operators and conditional constructs will be supported (list of values, range of values, dates and date ranges, exact value, greater/less than, include/exclude, sorts, etc)	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.013	Reporting	The Reporting solution will support all sql-standard query constructs and functions (grouping, sorting, select lists, math functions, string functions, etc).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.014	Reporting	The Report tool will provide the capability to specify input parameters for reports.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.015	Reporting	The Reporting solution will provide a user-friendly graphical user interface for non-technical staff to design reports.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.016	Reporting	The Reporting solution will provide a more advanced user interface for technical staff to design reports.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.017	Reporting	The Reporting solution will provide the capability to design reports for standard page sizes: US Letter, US Legal, 11x17, etc	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.018	Reporting	The Reporting solution will provide the capability to design reports for custom page sizes.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
800.019	Reporting	The Reporting solution will provide the capability to design reports for standard envelope sizes: #10 business-sized envelopes, etc	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.020	Reporting	The Reporting solution will provide the capability to design reports for custom envelope sizes.	4				
800.021	Reporting	The Reporting solution will provide the capability to design reports for various standard label sizes.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.022	Reporting	The Reporting solution will provide the capability to design reports in landscape orientation.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.023	Reporting	The Reporting solution will provide the capability to design reports in portrait orientation.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.024	Reporting	The Reporting solution will provide the capability to design reports having page headers and footers whose content can be specified by the user designing the report.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.025	Reporting	The Reporting solution will provide the capability to include automatic page numbering in the design of the report.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.026	Reporting	The Reporting solution will provide the capability to calculate values in the report.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			


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800.027	Reporting	The Reporting solution will provide user-interface access to all math, statistical, and string functions available in the relational database functionality.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO
800.028	Reporting	The Reporting solution will provide user-interface access to all math, statistical, and string functions particular to the Reporting tool (if any).	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO
800.029	Reporting	The Reporting solution will provide the capability to produce reports in a tabular design of columns and rows.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO
800.030	Reporting	The Reporting solution will provide the capability to produce reports in a graphical design consisting of graphs, pie charts, bar charts, trend lines, etc based on actual data.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO
800.031	Reporting	The Reporting solution will provide the capability to include data-based graphical and tabular elements on the same report.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO
800.032	Reporting	The Reporting solution will provide the capability to design drill-down reports.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO
800.033	Reporting	The Reporting solution will provide the capability to include existing report definitions as components of a report definition (i.e. sub-reports).	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO
800.034	Reporting	The Reporting solution will provide the capability to include image files (gif, jpg, png, tif) in a report design.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO
800.035	Reporting	The Reporting solution will provide the capability for the user to specify the font, font size, and font styling (bold, underline, italic, color, etc) for any element of the report.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO
800.036	Reporting	The Reporting solution will provide the capability for the user to choose from pre-defined date and time formats.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO
800.037	Reporting	The Reporting solution will provide the capability for the user to define custom date and time formats.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO
800.038	Reporting	The Reporting solution will provide the capability for the user to choose from pre-defined formats for money amounts.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO
800.039	Reporting	The Reporting solution will provide the capability for the user to define custom formats for money amounts.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO
800.040	Reporting	The Reporting solution will provide the capability to include dollar signs (\$) on money amounts.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO
800.041	Reporting	The Reporting solution will provide the capability to include the thousands separator comma on money amounts.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO
800.042	Reporting	The Reporting solution will provide the capability for the user to include cosmetic graphic elements such as lines, curves, and shapes to enhance the appearance of the report.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO




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800.043	Reporting	The Reporting solution will provide the capability for the user to specify styling (color, transparency, patterns, fill, etc) for cosmetic graphic elements in the report.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.044	Reporting	The Reporting solution will provide the capability to control horizontal content alignment (left, right, center, justify) for any and all elements of the report.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.045	Reporting	The Reporting solution will provide the capability to generate a barcode using a coding scheme appropriate to modern document processing.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
800.046	Reporting	The Reporting solution will provide the capability to include the barcode on report outputs.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
800.047	Reporting	The Reporting solution will provide the capability to include a check-sum character in a barcode.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
800.048	Reporting	The Reporting solution will provide the capability for the report developer to place the barcode anywhere on the report design and orient the barcode vertically or horizontally to fit the report design.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
800.049	Reporting	The Reporting solution will provide the capability for the report developer to specify the horizontal and vertical size of the barcode in the report design.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
800.050	Reporting	The Reporting solution will provide the capability for FCERA to define the contents of a barcode in the report design.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>

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800.051	Reporting	The Reporting solution will provide the capability for FCERA to base the contents of a barcode on both static and dynamic information. The dynamic information will not be known until the report is run.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
800.052	Reporting	The barcode will support integration with the PAS/EDMS for automated workflow.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
800.053	Reporting	The Reporting solution will provide the capability to save report designs.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.054	Reporting	The Reporting solution will provide the capability to name a report design with a name meaningful to the users.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.055	Reporting	The Reporting solution will provide the capability to rename a report design with a name meaningful to the users.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.056	Reporting	The Reporting solution will provide the capability to describe a report design in standard prose for easy recognition.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.057	Reporting	The Reporting solution will provide the capability to modify existing report designs.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.058	Reporting	The Reporting solution will provide the capability to delete existing report designs.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.059	Reporting	The Reporting solution will provide the capability for the user to run any report on-demand at any time.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.060	Reporting	The Reporting solution will provide the capability for the user to schedule any report to run recurrently at a specified time(s).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.061	Reporting	The Reporting solution will provide the capability for the user to schedule reports to run once at a specified time.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.062	Reporting	The Reporting solution will provide a reporting center where the library of stored report designs can be organized and categorized for easy access by the users.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.063	Reporting	The Reporting solution will provide the capability to control user access to reports based on user roles.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.064	Reporting	The Reporting solution will provide the capability for an administrator to assign one or more roles to a user.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.065	Reporting	The Reporting solution will provide the capability for an administrator to define user roles.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			

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800.066	Reporting	The Reporting solution will provide a fully-privileged administrator role that is capable of performing any and all functions in the Reporting tool environment.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.067	Reporting	The Reporting solution will provide the capability to distribute reports as a hyperlink(s) to a location(s) on a server.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.068	Reporting	The Reporting solution will provide the capability to distribute reports as email attachments to a list of one or more email addresses.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.069	Reporting	The Reporting solution will provide the capability to notify a list of one or more email addresses when a report completed successfully.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.070	Reporting	The Reporting solution will provide the capability to notify a list of one or more email addresses when a report did not complete successfully.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.071	Reporting	The Reporting solution will provide the capability to send report output to the EDMS for inclusion in the member's file.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.072	Reporting	The Reporting solution will provide the capability to perform automated mail-merge (for example, send a letter to a list of members meeting a certain criteria)	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
800.073	Reporting	The Reporting solution will provide the capability for the user to choose whether to include addressed envelope with the report output.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
800.074	Reporting	The Reporting solution will provide the capability to output reports in formats compatible with commercial print shops.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.075	Reporting	The Reporting solution will provide the capability to output reports to standard Postscript-compliant office and desktop printers.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.076	Reporting	The Reporting solution will provide the capability to output reports to standard PCL-compliant office and desktop printers.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.077	Reporting	The Reporting solution will provide the capability to output reports to uneditable pdf files.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.078	Reporting	The Reporting solution will provide the capability to output reports as form-fill pdf files.	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		
800.079	Reporting	The Reporting solution will provide the capability to output reports as editable Microsoft Word files (MSOffice 2003 and later).	2	<input type="checkbox"/> YES	<input type="checkbox"/> NO		


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800.080	Reporting	The Reporting solution will provide the capability to output reports as editable Microsoft Excel files (MSOffice 2003 and later).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.081	Reporting	The Reporting solution will provide the capability to output reports as editable html files.	4	1 <input type="checkbox"/>	2 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	3 <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D	4 <input type="checkbox"/>
800.082	Reporting	The Reporting solution will provide the capability to output reports as fixed field-length editable plain text ascii files.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.083	Reporting	The Reporting solution will provide the capability to output reports as field-delimited editable plain text ascii files.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.084	Reporting	The Reporting solution will provide the capability for the user to name report output files with any valid Microsoft Windows filename.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			
800.085	Reporting	The Reporting solution will provide the capability to produce the reports, or equivalents, listed in the Currently Used Forms and Reports section above.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO			


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## A.31 GL Integration (802)

ReqID	Process	Requirement Detail	Priority	
802.001	GL Integration	The PAS will provide the capability to create a General Ledger extract file to send to Microsoft Dynamics NAV General Ledger system.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
802.002	GL Integration	The PAS will provide the capability to create a General Ledger extract file of member transaction data.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
802.003	GL Integration	The PAS will provide the capability to create a General Ledger extract file, organized according to FCERA's current chart of accounts.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
802.004	GL Integration	The PAS will provide the capability to enter a transaction date range when creating the interface file to NAV.  The new PAS must provide monthly (1 <sup>st</sup> through 31 <sup>st</sup> of each month) totals for transactions (Summary for payroll journal).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
802.005	GL Integration	The PAS will provide the capability to specify a level of detail (i.e., summarized, detailed, etc...) to be included in the interface file to NAV.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
802.006	GL Integration	The PAS will provide the capability to use posting date, not effective date, to catch back dated postings when creating the interface file to NAV.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
802.007	GL Integration	The PAS will provide the capability to create journal entries for retired and terminated members to post in NAV and include those journal entries in the interface file to the General Ledger. The journal entries will be created for. <ul style="list-style-type: none"> <li>• Payroll expenses</li> <li>• Reserve transfers</li> <li>• Lump sum payments</li> </ul>	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
802.008	GL Integration	The PAS will provide the capability to create a monthly interface file for summary amounts charged to the Benefits Paid account by tier for active members to post in NAV.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
802.009	GL Integration	The PAS will provide the capability to add more deductions as needed to include in the interface file to NAV.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
802.010	GL Integration	The PAS will provide the capability to map to dimensions in NAV for GL integration. General Ledger is categorized by G/L account number and dimension.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO


	<b>FRESNO COUNTY EMPLOYEES’ RETIREMENT ASSOCIATION</b>		FCERA-PAS-RFP-A
	<b>Project: PENSION ADMINISTRATION SYSTEM</b>		
	<b>Appendix A – Requirements Response</b>		

<b>ReqID</b>	<b>Process</b>	<b>Requirement Detail</b>	<b>Priority</b>	
802.011	GL Integration	The PAS will provide the capability to accept an interface file from the disbursement bank containing member payment data, and post that data to member records.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
802.012	GL Integration	The PAS will provide the capability to create a report showing stale dated or outstanding checks that were not cashed within 35 days of check date. There are cases where members either did not get the check or misplaced it. Check clearing is a banking function. PAS will receive check clearing information in a future interface from the disbursement bank.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
802.013	GL Integration	The PAS will provide the capability to start a workflow to follow up on stale dated or outstanding checks that come through the interface from disbursement bank.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
802.014	GL Integration	The PAS will provide the capability to automatically generate a letter to member when checks are not cashed within 35 days and allow staff to edit the letter prior to sending it to member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

	<b>FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION</b>	<b>FCERA-PAS-RFP-A</b>
	<b>Project: PENSION ADMINISTRATION SYSTEM</b>	
	<b>Appendix A – Requirements Response</b>	


## A.32 Tiers & Plan Sponsors (803)

ReqID	Process	Requirement Detail	Priority	Meets Requirement?
803.001	Tiers/Plan Sponsors	The PAS will provide the capability for appropriately-privileged functional staff to add new Plan Sponsors. A table-driven approach is desired so that a technical programmer is not required to add a new Plan Sponsor.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
803.002	Tiers/Plan Sponsors	The PAS will provide the capability for appropriately-privileged functional staff to modify existing Plan Sponsor data. A table-driven approach is desired so that a technical programmer is not required to add a new Plan Sponsor.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
803.003	Tiers/Plan Sponsors	The PAS will provide the capability for appropriately-privileged functional staff to add new Tiers. A table-driven approach is desired so that a technical programmer is not required to add a new Plan Sponsor.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
803.004	Tiers/Plan Sponsors	The PAS will provide the capability for appropriately-privileged functional staff to modify existing Tiers. A table-driven approach is desired so that a technical programmer is not required to add a new Plan Sponsor.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
803.005	Tiers/Plan Sponsors	The PAS will provide the capability to define Tiers using the following data fields: Final compensation period Final compensation Benefit levels (Actual calculation is based on benefit level.) Effective date Cost of living Retirement contributions calculations Health benefits Non-service connected disability calculation Bargaining unit membership Plan Sponsor	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
803.006	Tiers/Plan Sponsors	The PAS will provide the capability for appropriately-privileged functional staff to assign bargaining unit members to the appropriate Tier. Membership to a specific Tier is mandatory for some bargaining units within the County of Fresno. Must have override capability to change a member's tier if certain requirements are met.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

	<b>FRESNO COUNTY EMPLOYEES’ RETIREMENT ASSOCIATION</b>		FCERA-PAS-RFP-A
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	<b>Appendix A – Requirements Response</b>		


<b>ReqID</b>	<b>Process</b>	<b>Requirement Detail</b>	<b>Priority</b>	<b>Meets Requirement?</b>
803.007	Tiers/Plan Sponsors	The PAS will provide the capability for appropriately-privileged functional staff to modify Tier membership specific to bargaining units. Membership in FCERA is mandatory for some (not all) bargaining units.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
803.008	Tiers/Plan Sponsors	The PAS will provide the capability for appropriately-privileged functional staff to designate a Plan Sponsor as having Social Security integration.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
803.009	Tiers/Plan Sponsors	The PAS will provide the capability for appropriately-privileged functional staff to associate Tiers and benefit levels to one or more Plan Sponsor(s).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
803.010	Tiers/Plan Sponsors	The PAS will provide the capability to charge all Plan Sponsors the same employer contribution rate.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
803.011	Tiers/Plan Sponsors	The PAS will provide the capability to charge different Plan Sponsors different employer contribution rates based on the Tiers offered.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
803.012	Tiers/Plan Sponsors	The PAS will provide the capability to charge different Plan Sponsors different employer contribution rates based on criteria other than the Tiers offered.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO




	<b>FRESNO COUNTY EMPLOYEES’ RETIREMENT ASSOCIATION</b>		FCERA-PAS-RFP-A
	<b>Project: PENSION ADMINISTRATION SYSTEM</b>		
	<b>Appendix A – Requirements Response</b>		


### A.33 Workflow (804)

ReqID	Process	Item detail	Priority	Meets Requirements?
804.001	Workflow	The PAS will provide the capability to define user-tailorable rules for routing documents scanned into EDMS to appropriate users by document type.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.002	Workflow	The PAS will provide the capability to define user-tailorable rules to prioritize workflow tasks based on the type of document and/or other attributes of the task.	1	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.003	Workflow	The PAS will provide predefined, retirement-related workflows.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.004	Workflow	The PAS will provide the capability to define various task types such as review and approve.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.005	Workflow	The PAS will provide an audit log of all movement of tasks through the workflow, to include at a minimum: task id, task/document name, user assigned, date assigned, date completed.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.006	Workflow	The PAS will provide calendar functionality to manage appointments.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.007	Workflow	The PAS will provide the capability to integrate with Outlook calendar. For instance, staff vacation tracked using Outlook calendar would be checked prior to the PAS making an appointment with a member.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.008	Workflow	The PAS will provide the capability to organize workflows based on major work processes, such as meetings (Board, Counseling) estimate requests, terminations, refunds, retirements, deaths, etc...	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.009	Workflow	The PAS will provide the capability to establish thresholds for review or approval. For example, approving refunds over \$5,000 may require special approvals whereas amounts less than the threshold would not.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.010	Workflow	The PAS will provide the capability for an administrator to add / delete / change steps in a workflow.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.011	Workflow	The PAS will provide the capability for an administrator to delete / change work items that are in-process in a workflow.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.012	Workflow	The PAS will provide the capability for an administrator to delete workflows that are no longer needed.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.013	Workflow	The PAS will provide permission-based access to tasks.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

	FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION		FCERA-PAS-RFP-A
	Project: PENSION ADMINISTRATION SYSTEM		
	Appendix A – Requirements Response		

ReqID	Process	Item detail	Priority	Meets Requirements?
804.014	Workflow	The PAS will provide security that is compatible with workflow if workflow is implemented with a product that is separate from the PAS product. In other words, users must have access to a particular function or screen in PAS that allows them to do the task.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.015	Workflow	The PAS will provide deadline monitoring capabilities to trigger the start of a workflow task or the next step in a workflow.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.016	Workflow	The PAS will provide the capability to send e-mail notifications to recipients other than PAS users, as well as recipients outside of FCERA.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.017	Workflow	The PAS will provide the capability to start a workflow process as a result of scanning a document.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.018	Workflow	The PAS will provide the capability to start a workflow process manually.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.019	Workflow	The PAS will provide the capability to manage tasks using a passive workflow model.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.020	Workflow	The PAS will provide the capability to manage tasks using an active workflow model.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.021	Workflow	The PAS will provide the capability to manage workflow tasks using a combination of passive and active workflow models. Staff would select work from a common pool for some tasks (passive workflow), while with other tasks, staff would be assigned work directly (active workflow).	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.022	Workflow	The PAS will provide the capability to start a workflow process as a result of receiving an e-mail or fax.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.023	Workflow	The PAS will provide the capability to deliver workflow notifications a user's email inbox, and allow the user to access the workflow task directly from the email inbox. <b>Single sign-on is not a requirement</b> when accepting PAS workflow tasks from an email environment. FCERA expects the login to email and the login to the PAS to be distinct.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.024	Workflow	The PAS will provide the capability for a user to execute multiple workflow tasks in a sequence without having to go back to the Outlook email inbox.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.025	Workflow	The PAS will provide reports to count and track work elements within the workflow. For example, FCERA wishes to know the number of documents used or processed in various stages of processing.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO
804.026	Workflow	The PAS will provide reports to track the length of time tasks have been in the work queues.	2	<input type="checkbox"/> YES <input type="checkbox"/> NO

	<b>FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION</b>	<b>FCERA-PAS-RFP-A</b>
	<b>Project: PENSION ADMINISTRATION SYSTEM</b>	
	<b>Appendix A – Requirements Response</b>	

	<b>FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION</b>	FCERA-PAS-RFP-B
	<b>Project: PENSION ADMINISTRATION SYSTEM</b>	
	<b>Appendix B - Report Samples</b>	

## Appendix B – Samples of Reports

Appendix B contains a collection of samples of actual reports in use at FCERA. This collection is not a comprehensive presentation of all reports mentioned in the RFP, nor is it a specification. These samples are provided for information purposes only, so that bidders can gain an idea of the types of reports, letters, and forms being generated at FCERA.

FCERA expects that vendors will conduct full analysis and specification of all relevant reports during the vendor's requirements/design phase of the project.

Names, SSN, and other identity information has been redacted in these samples.



Roberto L. Peña  
Retirement Administrator

FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION  
BOARD OF RETIREMENT  
Eulalio Gomez, Chair  
James E. Hackett, Vice Chair  
Michael Cardenas  
Nick Cornacchia  
Franz Criego  
Vicki Crow  
Steven J. Jolly  
Phil Larson  
John P. Souza  
Ronald S. Frye, Alternate

October 25, 2010

[REDACTED]  
[REDACTED] Rd  
S Pasadena CA 91030-3525

Dear Ms. [REDACTED]:

We are writing in regards to your status in the Fresno County Employees' Retirement Association (FCERA). Our records indicate that you were hired by Fresno County on June 24, 2002 and became a member of FCERA on July 8, 2002. You did not provided a copy of your birth certificate to verify your retirement entry age within the required time, and your entry age was changed from 28 to 59 effective pay period beginning March 17, 2003.

Our office received your birth certificate on June 9, 2010. Your entry age was changed from 59 to 39 effective pay period beginning June 28, 2010 and your proper retirement contributions commenced.

We have calculated the amount you have over contributed to FCERA for the period of March 17, 2003 through June 27, 2010. We are processing your refund of contributions and interest of \$5,450.11, less any federal and state taxes owed. We anticipate your refund to be processed for the November 26, 2010.

If you have any questions regarding this matter please contact Maria Benningfield or Kristi Jacobie at (559) 457-0681.

Sincerely,

  
Maria Benningfield  
Retirement Coordinator

## Workforce Job Summary

EMP

ID: 00017663



Job Information						
Customize   Find   View 10   First 1-25 of 25 Last						
General Job Information Work Location Salary Plan Compensation						
Org Relation	Empl Rcd#	Effective Date	Seq	Action	Action Reason	Go To Job
EMP		0 07/30/2010	0	Terminatn	Resignatn	<a href="#">Job Data</a>
EMP		0 06/28/2010	0	Ret Actions	Chg Age	<a href="#">Job Data</a>
EMP		0 12/14/2009	0	Pay Rt Chg	Cost-of-Lv	<a href="#">Job Data</a>
EMP		0 12/14/2009	1	Data Chg	Annl Perf	<a href="#">Job Data</a>
EMP		0 12/15/2008	0	Pay Rt Chg	Cost-of-Lv	<a href="#">Job Data</a>
EMP		0 12/15/2008	1	Pay Rt Chg	Step Prog	<a href="#">Job Data</a>
EMP		0 12/17/2007	0	Pay Rt Chg	Cost-of-Lv	<a href="#">Job Data</a>
EMP		0 12/17/2007	1	Pay Rt Chg	Step Prog	<a href="#">Job Data</a>
EMP		0 07/02/2007	0	Pay Rt Chg	Cost-of-Lv	<a href="#">Job Data</a>
EMP		0 12/18/2006	0	Pay Rt Chg	Cost-of-Lv	<a href="#">Job Data</a>
EMP		0 12/18/2006	1	Pay Rt Chg	Step Prog	<a href="#">Job Data</a>
EMP		0 12/19/2005	0	Pay Rt Chg	Cost-of-Lv	<a href="#">Job Data</a>
EMP		0 12/19/2005	1	Pay Rt Chg	Step Prog	<a href="#">Job Data</a>
EMP		0 06/21/2005	0	Probation	End Probat	<a href="#">Job Data</a>
EMP		0 12/20/2004	0	Pay Rt Chg	Cost-of-Lv	<a href="#">Job Data</a>
EMP		0 12/20/2004	1	Pay Rt Chg	Step Prog	<a href="#">Job Data</a>
EMP		0 06/21/2004	0	Promotion	Exper Expe	<a href="#">Job Data</a>
EMP		0 06/07/2004	0	Data Chg	BenChg/Upd	<a href="#">Job Data</a>
EMP		0 06/07/2004	1	Promotion	Ent to Exp	<a href="#">Job Data</a>
EMP		0 12/22/2003	0	Pay Rt Chg	Step Prog	<a href="#">Job Data</a>
EMP		0 06/24/2003	0	Probation	End Probat	<a href="#">Job Data</a>
EMP		0 03/17/2003	0	Ret Actions	Chg Age	<a href="#">Job Data</a>
EMP		0 12/23/2002	0	Pay Rt Chg	Step Prog	<a href="#">Job Data</a>
EMP		0 12/09/2002	0	Pay Rt Chg	Cost-of-Lv	<a href="#">Job Data</a>
EMP		0 06/24/2002	0	Hire	Prob Hire	<a href="#">Job Data</a>


[Return to Search](#)

## Workforce Job Summary

EMP

ID: 00017663




Job Information										
Customize   Find   View 10    First 1-25 of 25 Last										
General Job Information Work Location Salary Plan Compensation 										
Org Relation	Empl Rcd#	Effective Date	Seq	Job Code	Empl Type	Empl Status	Full/Part Time	Reg/Temp	Standard Hours	Work Period
EMP		0 07/30/2010 0		3035	Hourly	Terminated	Full-Time	Regular	40.00	Weekly
EMP		0 06/28/2010 0		3035	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 12/14/2009 0		3035	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 12/14/2009 1		3035	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 12/15/2008 0		3035	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 12/15/2008 1		3035	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 12/17/2007 0		3035	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 12/17/2007 1		3035	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 07/02/2007 0		3035	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 12/18/2006 0		3035	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 12/18/2006 1		3035	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 12/19/2005 0		3035	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 12/19/2005 1		3035	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 06/21/2005 0		3035	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 12/20/2004 0		3035	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 12/20/2004 1		3035	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 06/21/2004 0		3035	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 06/07/2004 0		3033	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 06/07/2004 1		3034	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 12/22/2003 0		3033	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 06/24/2003 0		3033	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 03/17/2003 0		3033	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 12/23/2002 0		3033	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 12/09/2002 0		3033	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP		0 06/24/2002 0		3033	Hourly	Active	Full-Time	Regular	40.00	Weekly


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## Workforce Job Summary

EMP

ID: 00017663

Job Information								
<a href="#">General</a>   <a href="#">Job Information</a>   <a href="#">Work Location</a>   <a href="#">Salary Plan</a>   <a href="#">Compensation</a>   <a href="#">Customize</a>   <a href="#">Find</a>   <a href="#">View 10</a>   								
First  1-25 of 25  Last								
<u>Org Relation</u>	<u>Empl Rcd#</u>	<u>Effective Date</u>	<u>Seq</u>	<u>Position</u>	<u>Company</u>	<u>Department</u>	<u>Location</u>	<u>Reports To</u>
EMP	0	07/30/2010	0	CNV PD RCD	COF	Dept of SS	EMP&TEMP	
EMP	0	06/28/2010	0	CNV PD RCD	COF	Dept of SS	EMP&TEMP	
EMP	0	12/14/2009	0	CNV PD RCD	COF	Dept of SS	EMP&TEMP	
EMP	0	12/14/2009	1	CNV PD RCD	COF	Dept of SS	EMP&TEMP	
EMP	0	12/15/2008	0	CNV PD RCD	COF	ETA	EMP&TEMP	
EMP	0	12/15/2008	1	CNV PD RCD	COF	ETA	EMP&TEMP	
EMP	0	12/17/2007	0	CNV PD RCD	COF	ETA	EMP&TEMP	
EMP	0	12/17/2007	1	CNV PD RCD	COF	ETA	EMP&TEMP	
EMP	0	07/02/2007	0	CNV PD RCD	COF	ETA	EMP&TEMP	
EMP	0	12/18/2006	0	CNV PD RCD	COF	ETA	EMP&TEMP	
EMP	0	12/18/2006	1	CNV PD RCD	COF	ETA	EMP&TEMP	
EMP	0	12/19/2005	0	CNV PD RCD	COF	ETA	EMP&TEMP	
EMP	0	12/19/2005	1	CNV PD RCD	COF	ETA	EMP&TEMP	
EMP	0	06/21/2005	0	CNV PD RCD	COF	ETA	EMP&TEMP	
EMP	0	12/20/2004	0	CNV PD RCD	COF	ETA	EMP&TEMP	
EMP	0	12/20/2004	1	CNV PD RCD	COF	ETA	EMP&TEMP	
EMP	0	06/21/2004	0	CNV PD RCD	COF	Emp Temp A	EMP&TEMP	
EMP	0	06/07/2004	0	CNV PD RCD	COF	Emp Temp A	EMP&TEMP	
EMP	0	06/07/2004	1	CNV PD RCD	COF	Emp Temp A	EMP&TEMP	
EMP	0	12/22/2003	0	CNV PD RCD	COF	Emp Temp A	EMP&TEMP	
EMP	0	06/24/2003	0	CNV PD RCD	COF	Emp Temp A	EMP&TEMP	
EMP	0	03/17/2003	0	CNV PD RCD	COF	Emp Temp A	EMP&TEMP	
EMP	0	12/23/2002	0	CNV PD RCD	COF	Emp Temp A	EMP&TEMP	
EMP	0	12/09/2002	0	CNV PD RCD	COF	Emp Temp A	EMP&TEMP	
EMP	0	06/24/2002	0	CNV PD RCD	COF	Emp Temp A	EMP&TEMP	

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## Workforce Job Summary

EMP

ID: 00017663

Job Information								
General			Job Information			Work Location		
Salary Plan			Compensation			Customize   Find   View 10		
First			1-25 of 25			Last		
Org Relation	Empl Rcd#	Effective Date	Seq	Sal Plan	Grade	Step	Pay Group	Frequency
EMP		0 07/30/2010	0	COF	3035	6 REG		Biweekly
EMP		0 06/28/2010	0	COF	3035	6 REG		Biweekly
EMP		0 12/14/2009	0	COF	3035	6 REG		Biweekly
EMP		0 12/14/2009	1	COF	3035	6 REG		Biweekly
EMP		0 12/15/2008	0	COF	3035	5 REG		Biweekly
EMP		0 12/15/2008	1	COF	3035	6 REG		Biweekly
EMP		0 12/17/2007	0	COF	3035	4 REG		Biweekly
EMP		0 12/17/2007	1	COF	3035	5 REG		Biweekly
EMP		0 07/02/2007	0	COF	3035	4 REG		Biweekly
EMP		0 12/18/2006	0	COF	3035	3 REG		Biweekly
EMP		0 12/18/2006	1	COF	3035	4 REG		Biweekly
EMP		0 12/19/2005	0	COF	3035	2 REG		Biweekly
EMP		0 12/19/2005	1	COF	3035	3 REG		Biweekly
EMP		0 06/21/2005	0	COF	3035	2 REG		Biweekly
EMP		0 12/20/2004	0	COF	3035	1 REG		Biweekly
EMP		0 12/20/2004	1	COF	3035	2 REG		Biweekly
EMP		0 06/21/2004	0	COF	3035	1 REG		Biweekly
EMP		0 06/07/2004	0	COF	3033	3 REG		Biweekly
EMP		0 06/07/2004	1	COF	3034	2 REG		Biweekly
EMP		0 12/22/2003	0	COF	3033	3 REG		Biweekly
EMP		0 06/24/2003	0	COF	3033	2 REG		Biweekly
EMP		0 03/17/2003	0	COF	3033	2 REG		Biweekly
EMP		0 12/23/2002	0	COF	3033	2 REG		Biweekly
EMP		0 12/09/2002	0	COF	3033	1 REG		Biweekly
EMP		0 06/24/2002	0	COF	3033	1 REG		Biweekly

 Return to Search

## Workforce Job Summary

EMP

ID: 00017663


Job Information										
General		Job Information		Work Location		Salary Plan		Compensation		
Org Relation	Empl Rcd#	Effective Date	Seq	Annual Rt	Monthly Rt	Daily Rt	Hrly Rate	Currency	Change Percent	Components
EMP	0	07/30/2010	0	47554.000	3962.833	182.900	22.862500	USD		<a href="#">Components</a>
EMP	0	06/28/2010	0	47554.000	3962.833	182.900	22.862500	USD		<a href="#">Components</a>
EMP	0	12/14/2009	0	47554.000	3962.833	182.900	22.862500	USD	2.926	<a href="#">Components</a>
EMP	0	12/14/2009	1	47554.000	3962.833	182.900	22.862500	USD		<a href="#">Components</a>
EMP	0	12/15/2008	0	43992.000	3666.000	169.200	21.150000	USD	3.108	<a href="#">Components</a>
EMP	0	12/15/2008	1	46202.000	3850.167	177.700	22.212500	USD	5.024	<a href="#">Components</a>
EMP	0	12/17/2007	0	40638.000	3386.500	156.300	19.537500	USD	3.579	<a href="#">Components</a>
EMP	0	12/17/2007	1	42666.000	3555.500	164.100	20.512500	USD	4.990	<a href="#">Components</a>
EMP	0	07/02/2007	0	39234.000	3269.500	150.900	18.862500	USD	2.028	<a href="#">Components</a>
EMP	0	12/18/2006	0	36634.000	3052.833	140.900	17.612500	USD	3.451	<a href="#">Components</a>
EMP	0	12/18/2006	1	38454.000	3204.500	147.900	18.487500	USD	4.968	<a href="#">Components</a>
EMP	0	12/19/2005	0	33722.000	2810.167	129.700	16.212500	USD	2.773	<a href="#">Components</a>
EMP	0	12/19/2005	1	35412.000	2951.000	136.200	17.025000	USD	5.012	<a href="#">Components</a>
EMP	0	06/21/2005	0	32812.000	2734.333	126.200	15.775000	USD		<a href="#">Components</a>
EMP	0	12/20/2004	0	31252.000	2604.333	120.200	15.025000	USD	2.472	<a href="#">Components</a>
EMP	0	12/20/2004	1	32812.000	2734.333	126.200	15.775000	USD	4.992	<a href="#">Components</a>
EMP	0	06/21/2004	0	30498.000	2541.500	117.300	14.662500	USD	10.556	<a href="#">Components</a>
EMP	0	06/07/2004	0	26234.000	2186.167	100.900	12.612500	USD		<a href="#">Components</a>
EMP	0	06/07/2004	1	27586.000	2298.833	106.100	13.262500	USD	5.154	<a href="#">Components</a>
EMP	0	12/22/2003	0	26234.000	2186.167	100.900	12.612500	USD	4.995	<a href="#">Components</a>
EMP	0	06/24/2003	0	24986.000	2082.167	96.100	12.012500	USD		<a href="#">Components</a>
EMP	0	03/17/2003	0	24986.000	2082.167	96.100	12.012500	USD		<a href="#">Components</a>
EMP	0	12/23/2002	0	24986.000	2082.167	96.100	12.012500	USD	5.027	<a href="#">Components</a>
EMP	0	12/09/2002	0	23790.000	1982.500	91.500	11.437500	USD	3.977	<a href="#">Components</a>
EMP	0	06/24/2002	0	22880.000	1906.667	88.000	11.000000	USD		<a href="#">Components</a>

[Return to Search](#)


Frankie

6/9/2010

I would like the  
retirement contributions that I  
have over contribute refunded  
to me.



RECEIVED 

JUN 09 2010 

Fresno County Employees'  
Retirement Association

# FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION

DATE: June 10, 2010  
 TO: Silvia Fabela - Senior Personnel Analyst  
 FROM: Kelly Prinz, Retirement Benefits Manager  
 SUBJECT: [REDACTED]  
 ID#: 17663

*Kelly Prinz*  
 General

Type of Membership

In accordance with the provision(s) of Section(s) 31830  
 of the County Employees' Retirement Law of 1937, the following information should be reflected  
 for the above-named member:

## PAYROLL

### ☐ Payroll Deductions

Effective pay period Beginning

Payroll deductions for

0

pay periods

00/00/00

in the amount of

\$0.00

General Basic	\$0.00	Safety Basic	\$0.00
General COL	\$0.00	Safety COL	\$0.00
Supp Basic	\$0.00	Supp Basic	\$0.00
Supp COL	\$0.00	Supp COL	\$0.00

Reason

### ☐ Stop Payroll Deductions

Effective pay period Beginning

Stop Payroll deductions in the amount of

00/00/00

\$0.00

General Basic	\$0.00	Safety Basic	\$0.00
General COL	\$0.00	Safety COL	\$0.00
Supp Basic	\$0.00	Supp Basic	\$0.00
Supp COL	\$0.00	Supp COL	\$0.00

Reason

### ☐ Refund of Retirement Contributions (over payment)

Effective pay period Beginning

The above member needs a refund of their retirement contributions. Please process this refund  
 as soon as possible and provide the Retirement Division with a copy of the journal voucher.

00/00/00

Location	General	Taxed portion	\$0.00
	Safety	Taxable portion	\$0.00
	Other	Total Amount of Refund	\$0.00

AccPac account numbers		Taxed	Taxable	Total
4001-0100	General Basic & Int	\$0.00	\$0.00	\$0.00
4002-0200	General COL & Int	\$0.00	\$0.00	\$0.00
4006-0600	Settlmnt Basic & Int	\$0.00	\$0.00	\$0.00
4005-0500	Supp COL & Int	\$0.00	\$0.00	\$0.00
7298	Interest-BOR Appr.	\$0.00	\$0.00	\$0.00
4003-0300	Safety Basic & Int	\$0.00	\$0.00	\$0.00
4004-0400	Safety COL & Int	\$0.00	\$0.00	\$0.00
4007-0700	Settlmnt Basic & Int	\$0.00	\$0.00	\$0.00
4008-0800	Supp COL & Int	\$0.00	\$0.00	\$0.00
7298	Interest-BOR Appr.	\$0.00	\$0.00	\$0.00

PERSONNEL SVS DEPT  
 RECEIVED

JUN 10 2010

Reason for refund

Employee Benefits Division

## PERSONNEL

Effective pay period Beginning

6/28/2010

<input checked="" type="checkbox"/> Change age from	59	to	39
<input type="checkbox"/> 30 years of Service			
<input type="checkbox"/> Change Tier Level from		to	
<input type="checkbox"/> Other			

Prepared By: Frankie D. Dorsey  
 Date: June 9, 2010

Review by: *MS*  
 Date: 6/9/10



**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION**

DATE	COMMENTS	INITIALS
6/17/10	[REDACTED] # 17603	
	NTR 6/24/02 DOM 7/8/02	
	Age change Memo 39 to 59 effective PPB 3/17/03	
	6/9/10 Mbr request for refund & Age change - since she turned in BC on 6/19/03	
	Age change Memo 59 to 39 effective PPB 6/28/10	
	Adj period 3/17/03 - 6/27/10	

## Retire Dedn Detail

ID: 00017663

Pay End Date: 06/27/2010





[Find](#) | [View All](#) First  1 of 3  LastPay End Date: 06/27/2010 Off Cycle ? ☐ Pay Check Status: ConfirmedCheck #: 2736450 Adjustment Entry ☐ Pay Check Option: Advice

Plan Type: 7R Pension Obligation Bond Misc

Dedn Code/Benefit Plan: POBGEN Pension Obligation Bond Genera

Retirement Base Amt: 1829.00 Age at Entry: 59 AgeRate ID: MIS



	Basic	COLA	Total	Total
	1st \$162 > \$162	1st \$162 > \$162	1st \$162 > \$162	Deduction
Employee:				
Employer:	13.38 137.69		13.38 137.69	151.07

 Save  Return to Search  Previous in List  Next in List

## Retire Dedn Detail

ID: 00017663

Pay End Date: 07/11/2010

[Find](#) | [View All](#) First  1 of 3  LastPay End Date: 07/11/2010 Off Cycle ? ☐ Pay Check Status: ConfirmedCheck #: 2743903 Adjustment Entry ☐ Pay Check Option: Advice

Plan Type: 7R Pension Obligation Bond Misc

Dedn Code/Benefit Plan: POBGEN Pension Obligation Bond Genera

Retirement Base Amt: 1829.00 Age at Entry: 39 AgeRate ID: MIS

	Basic	COLA	Total	Total
	1st \$162 > \$162	1st \$162 > \$162	1st \$162 > \$162	Deduction
Employee:				
Employer:	14.73 151.53		14.73 151.53	166.26

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## Retire Dedn Detail

ID: 00017663

Pay End Date: 03/16/2003

[Find](#) | [View All](#) First 1 of 2 LastPay End Date: 03/16/2003 Off Cycle ? ☐ Pay Check Status: ConfirmedCheck #: 1220401 Adjustment Entry ☐ Pay Check Option: Advice

Plan Type: 7Y Misc Supplemental Retirement

Dedn Code/Benefit Plan: RETMSP Retirement Miscellaneous Supp

Retirement Base Amt: 961.00 Age at Entry: 39 AgeRate ID: MSUP

	Basic		COLA		Total		Total
	1st \$162 > \$162		1st \$162 > \$162		1st \$162 > \$162		Deduction
Employee:	1.77	13.02			1.77	13.02	14.79
Employer:	2.51	18.62	0.10	0.72	2.61	19.34	21.95

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## Retire Dedn Detail

ID: 00017663

Pay End Date: 03/30/2003

[Find](#) | [View All](#) First  1 of 2  LastPay End Date: 03/30/2003 Off Cycle ? ☐ Pay Check Status: ConfirmedCheck #: 1228672 Adjustment Entry ☐ Pay Check Option: Advice

Plan Type: 7Y Misc Supplemental Retirement

Dedn Code/Benefit Plan: RETMSP Retirement Miscellaneous Supp

Retirement Base Amt: 961.00 Age at Entry: 59 AgeRate ID: MSUP

	Basic		COLA		Total		Total
	1st \$162 > \$162		1st \$162 > \$162		1st \$162 > \$162		Deduction
Employee:	2.27	16.78			2.27	16.78	19.05
Employer:	2.51	18.62	0.10	0.72	2.61	19.34	21.95

 Save  Return to Search  Previous in List  Next in List

300  
200

**INTEROFFICE MEMO**  
**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION**

**DATE:** March 14, 2003  
**TO:** Gloria Soto-Personnel  
**FROM:** Carol Clark  
Retirement Supervisor

*Carol Clark*

**SUBJECT:** [REDACTED]  
**SSN:** [REDACTED] **General**  
**ID#:** 17663

In accordance with the provision(s) of Section(s) 31531  
of the County Employees' Retirement Law of 1937, the following information should be reflected  
for the above-named member:

**PAYROLL**

☐ **Payroll Deductions**

Effective pay period Beginning

Payroll deductions for \_\_\_\_\_ pay periods in the amount of \_\_\_\_\_

General Basic	\$0.00
General COL	\$0.00
Safety Basic	\$0.00
Safety COL	\$0.00

☐ **Stop Payroll Deductions**

Effective pay period Beginning

Stop Payroll deductions in the amount of \_\_\_\_\_ **\$0.00**

General Basic	\$0.00
General COL	\$0.00
Safety Basic	\$0.00
Safety COL	\$0.00

☐ **Refund of Retirement Contributions (over payment)**

The above member needs a refund of their retirement contributions. Please process this refund  
as soon as possible and provide the Retirement Division with a copy of the journal voucher.

Taxed	\$0.00
Taxable	\$0.00
Total Refund	\$0.00

☐ **Other**

**PERSONNEL**

☒ Change age from 39 to 59 **Effective PPB** 03/17/03  
☐ 30 years of Service Stop Payroll deduction and change Retirement Code to \_\_\_\_\_  
☒ Other No Birth Certificate. \_\_\_\_\_

Prepared By: Annabel Baldwin  
Date: March 14, 2003

Review by Acct: \_\_\_\_\_  
Date: \_\_\_\_\_

# FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION

DATE	COMMENTS	INITIALS
9/30/08	<div style="background-color: black; width: 150px; height: 1.2em; display: inline-block;"></div> ID# 3554 DOB 12/29/86 DOM 11/2/87 Entry 27 ENRTI - NO BC received - Effective PPB 2/23/87 Age change from 27 to 59 - Went to SAFETY effective PPB 5/13/91 - Rec'd BC on 4/7/06 - Effective PPB 6/18/06 Age changed from 59 to 27 - Rec'd request 4/4/08 for refund from Hbr - Only found 1 request for refund from Hbr in file - RD 9/30/08 Acty period 2/23/87 - 5/12/91 as ENI 5/13/91 - <del>6/18/06</del> as STI 06/18/06	✓
11/20/09	<div style="background-color: black; width: 250px; height: 1.2em; display: inline-block;"></div> ARE <div style="background-color: black; width: 300px; height: 1.2em; display: inline-block;"></div> Fresno CA 93711-6506	RD
1/10	Darlene called, told her it would be after 1/15/10 before we could complete her refund	

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION**

DATE	COMMENTS	INITIALS
	SIC SCREEN	
	@ GT1	
12/29/80	NHR	
11/2/87	DOM	
8/3/87	LOA	
10/19/87	RTN	
6/12/89	LOA (REMS 9/29/89)	
2/5/89	RTN	
8/21/90	LOA	
11/12/90	RTN	
	@ ST1	
9/8/96	LOA	
12/2/96	RTN	
11/1/99	LOA	
2/7/00	RTN	
4/17/00	LOA	
11/2/00	RTN	
4/2/01	LOA	
5/28/01	RTN	
11/24/03	LOA	
11/8/04	RTN	

## Retire Dedn Detail

ID: 00003554

Pay End Date: 01/29/2006

[Find](#) | [View All](#) First 1 of 3 LastPay End Date: 01/29/2006 Off Cycle ? ☐ Pay Check Status: ConfirmedCheck #: 14162 Adjustment Entry ☐ Pay Check Option: Check

Plan Type: 7Q Pension Obligation Bond Safety

Dedn Code/Benefit Plan: POBSAF Pension Obligation Bond Safety

Retirement Base Amt: 1916.00 Age at Entry: 59 AgeRate ID: SAF

	Basic 1st \$162 > \$162	COLA 1st \$162 > \$162	Total 1st \$162 > \$162	Total Deduction
Employee:				
Employer:	16.33 176.80		16.33 176.80	193.13

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Please note the difference ~~in~~ in the dates  
 Mbr was on LOA when age changed on ppb  
 6/19/06

LOA 1/30/06 - 6/19/06  
 LOA 10/23/06 - 9/24/07

> NO CK'S on list until  
 born 6/19/06 + 10/27/07

**Retire Dedn Detail**

ID: 00003554

Pay End Date: 10/07/2007

[Find](#) | [View All](#) First 1 of 3 LastPay End Date: 10/07/2007 Off Cycle ? ☐ Pay Check Status: ConfirmedCheck #: 2181203 Adjustment Entry ☐ Pay Check Option: Advice

Plan Type: 7Q Pension Obligation Bond Safety

Dedn Code/Benefit Plan: POBSAF Pension Obligation Bond Safety

Retirement Base Amt: 2255.69 Age at Entry: 27 AgeRate ID: SAF

	Basic	COLA	Total	Total
	1st \$162 > \$162	1st \$162 > \$162	1st \$162 > \$162	Deduction
Employee:				
Employer:	17.14 221.51		17.14 221.51	238.65

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# FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION

DATE: June 14, 2006  
 TO: Liz Jones, Sr. Personnel Analyst  
 FROM: Carol Sheela, Retirement Supervisor  
 SUBJECT: [REDACTED]  
 ID#: 3554      Type of Membership

*Carol Sheela*  
 \_\_\_\_\_  
 Safety

In accordance with the provision(s) of Section(s) \_\_\_\_\_  
 of the County Employees' Retirement Law of 1937, the following information should be reflected  
 for the above-named member:

## PAYROLL

### ☐ Payroll Deductions

Effective pay period Beginning

Payroll deductions for \_\_\_\_\_ pay periods in the amount of \_\_\_\_\_ \$0.00

General Basic	\$0.00	Safety Basic	\$0.00
General COL	\$0.00	Safety COL	\$0.00
Supp Basic	\$0.00	Supp Basic	\$0.00
Supp COL	\$0.00	Supp COL	\$0.00

### ☐ Stop Payroll Deductions

Effective pay period Beginning

Stop Payroll deductions in the amount of \_\_\_\_\_ 00/00/00 \_\_\_\_\_ \$0.00

General Basic	\$0.00	Safety Basic	\$0.00
General COL	\$0.00	Safety COL	\$0.00
Supp Basic	\$0.00	Supp Basic	\$0.00
Supp COL	\$0.00	Supp COL	\$0.00

### ☐ Refund of Retirement Contributions (over payment)

Effective pay period Beginning

The above member needs a refund of their retirement contributions. Please process this refund  
 as soon as possible and provide the Retirement Division with a copy of the journal voucher.

Location	General	Taxed portion	\$0.00
	Safety	Taxable portion	\$0.00
	Other	Total Amount of Refund	\$0.00

AccPac account numbers		Taxed	Taxable	Total
4001-0100	General Basic	\$0.00	\$0.00	\$0.00
4002-0200	General COL	\$0.00	\$0.00	\$0.00
4006-0600	Supp Basic	\$0.00	\$0.00	\$0.00
4002-0200	Supp COL	\$0.00	\$0.00	\$0.00
7298	Interest	\$0.00	\$0.00	\$0.00
4003-0300	Safety Basic	\$0.00	\$0.00	\$0.00
4004-0400	Safety COL	\$0.00	\$0.00	\$0.00
4007-0700	Supp Basic	\$0.00	\$0.00	\$0.00
4004-0400	Supp COL	\$0.00	\$0.00	\$0.00
7298	Interest	\$0.00	\$0.00	\$0.00

Reason for refund \_\_\_\_\_  
 \_\_\_\_\_

## PERSONNEL

Effective pay period Beginning

☒ Change age from \_\_\_\_\_ 59 \_\_\_\_\_ to \_\_\_\_\_ 27 \_\_\_\_\_ 6/19/2006  
☐ 30 years of Service      Stop Payroll deduction and change Retirement Code to \_\_\_\_\_  
☒ Other      Received member's birth certificate; copy of birth certificate attached. \_\_\_\_\_

Prepared by: Diane Didulo  
 Date: 6/6/2006

Review by: *CS*  
 Date: 6/13/06

County of

**FRESNO**

Inter Office Memo

DATE: FEBRUARY 27, 1987

TO: JANET COLEMAN, PERSONNEL DEPARMENT

FROM: Gary W. Peterson, Auditor-Controller/Treasurer

SUBJECT: [REDACTED]

Social Security # [REDACTED]

Classification GENERAL

In accordance with the provision(s) of Section(s) of the County Employees' Retirement Act of 1937, referenced member's data processing payroll records should reflect the following:

Personnel

Payroll Deduction for 26 payperiods beginning

Basic and Cost of Living \$

\* Age Change From 27 To 59

☐ Thirty years of service attained - stop payroll deductions effective pay period ending .  
Change member's Retirement Code to REG.

Retirement Accounting

Additional Service Credit (Months)

☐ Payroll Deduction:

☐ Lump Sum Payment or Adjustment:  
Current Six Months

Basic \$

COL \$

Prior Six Months

Basic \$

COL \$

Age Change From To

\* ENTRY AGE CHANGE EFFECTIVE PAY PERIOD BEGINNING 2/23/87



Rtmt Pay	1
----------	---

1									
Rtmt Pay									
EmpID	Name	Pay End	Off Cycle	Dedcd	Descr	Class	Curr Dedn	Calculate d Base	
00003554		10/4/1998	N		RETSFT Safety	Before-Tax	144.75	2827.00	

RETSFT Safety Before-Tax	144.75	2827.00
--------------------------	--------	---------

10/4/1998 N

00003554

Paycheck 3

Paycheck		3															
EmpId	Name	PPE	Earns Begin	Earns End	Off Cycle	DeptID	Shift	Shift Rate	Hrly Rate	Reg ErnCd	Short Desc	Reg Hours	Reg Earns	Oth ErnCd	Short Desc	Oth Hrs	Oth Earns
00003554	Punch Desktop	10/04/98			N	3410150I		0.000000	0.000000			0.00	0.00	PM	COEdFlat15	1.00	1500.00
00003554		10/04/98			N	3410150I		0.000000	0.000000	21	4850 QJI	80.00	1327.00			0.00	0.00
00003554		10/04/98	09/21/98	10/04/98	N	3410150I N		0.000000	16.587500	01	Regular	0.00	0.00	0.00	28	OT @ 1.5	0.00

EE Retmt 1

Emplid	Name	PPE	Off Cycle	Plan Typ	Descr	Covrg Base	Age at Ent	AgeRate ID	BASIC 1ST \$162	BASIC > \$162	COLA 1ST \$162	COLA > \$162	TOTAL 1ST \$162	TOTAL > \$162	CALCULATED TOTAL DEDUCTION	CURR DED
00003554		09/20/98	N	7X	Safety Retirement	1327.00	59	SAF	5.64	60.81	0.00	0.00	5.64	60.81	66.45	66.45

Paycheck 3

Emplid	Name	PPE	Earns Begin	Earns End	Off Cycle	DeptID	Shift	Shift Rate	Hrly Rate	Reg EmCd	Short Desc	Reg Hours	Reg Earns	Oth EmCd	Short Desc	Oth Hrs	Oth Earns
00003554		09/20/98			N	34101501		0.000000	0.000000			0.00	0.00	0.00	Comp@1.5	0.30	0.00
00003554		09/20/98			N	34101501		0.000000	0.000000	21	4850 OJL	72.00	1194.30			0.00	0.00
00003554		09/20/98	09/07/98	09/20/98	N	34101501	N	0.000000	16.587500	01	Regular	8.00	132.70	28	OT @ 1.5	0.00	0.00

EE Retmt 1

Emplid	Name	PPE	Off Cycle	Plan Typ	Descr	Covrg Base	Age at Ent	AgeRate ID	BASIC 1ST \$162	BASIC > \$162	COLA 1ST \$162	COLA > \$162	TOTAL 1ST \$162	TOTAL > \$162	CALCULATED TOTAL DEDUCTION	CURR DED
00003554		12/27/98	N	7X	Safety Retirement	2074.31	59	SAF	5.64	99.82	0.00	0.00	5.64	99.82	105.46	105.46

Paycheck 7

Emplid	Name	PPE	Earns Begin	Earns End	Off Cycle	DeptID	Shift	Shift Rate	Hrly Rate	Reg EmCd	Short Desc	Reg Hours	Reg Earns	Oth EmCd	Short Desc	Oth Hrs	Oth Earns
00003554		12/27/98			N	34101501		0.000000	0.000000			0.00	0.00	0.00	BrfAc1.5	1.50	0.00
00003554		12/27/98			N	34101501		0.000000	0.000000			0.00	0.00	0.00	Hol Worked	8.00	202.05
00003554		12/27/98			N	34101501		0.000000	0.000000			0.00	0.00	0.00	Unif Allow	0.00	500.00
00003554		12/27/98			N	34101501		0.000000	0.000000	09	Sk NAL/AL2	32.00	538.80			0.00	0.00
00003554		12/27/98			N	34101501		0.000000	0.000000	21	4850 OJL	8.00	134.70			0.00	0.00
00003554		12/27/98			N	34101501		0.000000	0.000000	22	Hol Cr-Pd	8.00	134.70			0.00	0.00
00003554		12/27/98	12/14/98	12/27/98	N	34101501	N	0.000000	16.837500	01	Regular	32.00	538.80	28	OT @ 1.5	0.00	0.00

Paycheck	Emplid	Name	PPE	Earns Begin	Earns End	Off Cycle	DeptID	Shift	Shift Rate	Hrly Rate	Reg ErnCd	Short Desc	Reg Hours	Reg Earnings	Oth ErnCd	Short Desc	Oth Hrs	Oth Earnings
	00003554		08/23/98			N	34101501		0.000000	0.000000	03	NAL/JAL 2	0.00	688.38	0.00 30	Comp@1.5	0.90	0.00
	00003554		08/23/98			N	34101501		0.000000	0.000000	03	4850 OJl	41.50	132.70			0.00	0.00
	00003554		08/23/98			Y	34101501		0.000000	0.000000	21		0.00	0.00	0.00 25	Hol Wrked	-8.00	-199.05
	00003554		08/23/98			Y	34101501		0.000000	0.000000			0.00	0.00	0.00 25	Hol Wrked	8.00	199.05
	00003554		08/23/98			Y	34101501		0.000000	0.000000			0.00	0.00	0.00 75	HolWkOVSPd	-0.20	-4.98
	00003554		08/23/98			Y	34101501		0.000000	0.000000			0.00	0.00	0.00 75	HolWkOVSPd	0.20	4.98
	00003554		08/23/98			Y	34101501		0.000000	0.000000	03	NAL/JAL 2	-0.50	-8.29			0.00	0.00
	00003554		08/23/98			Y	34101501		0.000000	0.000000	03	NAL/JAL 2	0.50	8.29			0.00	0.00
	00003554		08/23/98			Y	34101501		0.000000	0.000000	09	Sk NAL/JAL2	-16.00	-265.40			0.00	0.00
	00003554		08/23/98			Y	34101501		0.000000	0.000000	09	Sk NAL/JAL2	8.00	132.70			0.00	0.00
	00003554		08/23/98			Y	34101501		0.000000	0.000000	21	4850 OJl	8.00	132.70			0.00	0.00
	00003554		08/23/98			Y	34101501		0.000000	0.000000	22	Hol Cr-Pd	-8.00	-132.70			0.00	0.00
	00003554		08/23/98			Y	34101501		0.000000	0.000000	22	Hol Cr-Pd	8.00	132.70			0.00	0.00
	00003554		06/29/98	07/12/98		Y	34101501	N	0.000000	16.587500	01	Regular	-55.50	-920.61	28	OT @ 1.5	-0.60	-14.93
	00003554		06/29/98	07/12/98		Y	34101501	N	0.000000	16.587500	01	Regular	55.50	920.61	28	OT @ 1.5	0.60	14.93
	00003554		08/10/98	08/23/98		N	34101501	N	0.000000	16.587500	01	Regular	30.50	505.92	28	OT @ 1.5	0.00	0.00






EE Reimtd	Emplid	Name	PPE	Off Cycle	Plan Typ	Descr	Covrg Base	Age at Ent	AgeRate ID	BASIC 1ST \$162	BASIC > \$162	COLA 1ST \$162	COLA > \$162	TOTAL 1ST \$162	TOTAL > \$162	CALCULATED TOTAL DEDUCTION	CURR DED
	00003554		08/23/98	N	7X	Safety Retirement	1327.00	59	SAF	5.64	60.81	0.00	0.00	5.64	60.81	66.45	66.45

EE Reimtd	Emplid	Name	PPE	Off Cycle	Plan Typ	Descr	Covrg Base	Age at Ent	AgeRate ID	BASIC 1ST \$162	BASIC > \$162	COLA 1ST \$162	COLA > \$162	TOTAL 1ST \$162	TOTAL > \$162	CALCULATED TOTAL DEDUCTION	CURR DED
	00003554		05/31/98	N	7X	Safety Retirement	1438.80	59	SAF	5.64	66.65	0.00	0.00	5.64	66.65	72.29	72.29

**Review Paycheck**

Enter any information you have and click Search. Leave fields blank for a list of all values.

**Find an Existing Value**

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Pay Group:	begins with	<input type="text"/>	
Pay Period End Date:	=	<input type="text"/>	
Off Cycle ?	<input type="checkbox"/>		
Page #:	=	<input type="text"/>	
Line #:	=	<input type="text"/>	
Separate Check #:	=	<input type="text"/>	
Paycheck Number:	=	<input type="text"/>	
EmplID:	begins with	00003554	
Name:	begins with	<input type="text"/>	

☐ Case Sensitive

Search

Clear



Basic Search



Save Search Criteria

**Search Results**

View 100

First  1-124 of 124  Last

Company	Pay Group	Pay Period End Date	Off Cycle ?	Page #	Line #	Separate Check #	Form Identification	Paycheck Number	EmplID	Name
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COF	REG	03/08/2009	Y	4989	1	0	(blank)	0	00003554	Burch,Darling
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COF	REG	09/21/2008	N	120	3	0	ADVICE	2381693	00003554	Burch,Darling
COF	REG	09/07/2008	N	120	7	0	ADVICE	2373755	00003554	Burch,Darling
COF	REG	08/24/2008	N	121	1	0	ADVICE	2365823	00003554	Burch,Darling
COF	REG	08/10/2008	N	120	3	0	ADVICE	2357869	00003554	Burch,Darling
COF	REG	07/27/2008	N	120	2	0	ADVICE	2349910	00003554	Burch,Darling
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COF	REG	06/15/2008	N	121	5	0	ADVICE	2325779	00003554	Burch,Darling
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## Workforce Job Summary

EMP

ID: 00003554

## Job Information

Customize | Find | View 10 | 

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## General

## Job Information

## Work Location

## Salary Plan

## Compensation

Org Relation	Empl Rcd#	Effective Date	Seq	Action	Action Reason	Go To Job
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EMP		0 02/08/2010	0	Pay Rt Chg	Step Reduc	<a href="#">Job Data</a>
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EMP	0 02/10/1997	0	Promotion	Exper Expe	<a href="#">Job Data</a>
EMP	0 12/16/1996	0	Conversion	ConvRec	<a href="#">Job Data</a>
EMP	0 04/03/1996	0	Work Comp	Work Comp	<a href="#">Job Data</a>
EMP	0 11/13/1993	0	Work Comp	Work Comp	<a href="#">Job Data</a>
EMP	0 12/29/1986	0	HRIS Srvc Date	Hire Rec	<a href="#">Job Data</a>

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## Workforce Job Summary

EMP

ID: 00003554

## Job Information

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General	Job Information	Work Location	Salary Plan	Compensation						
Org Relation	Empl Rcd#	Effective Date	Seq	Job Code	Empl Type	Empl Status	Full/Part Time	Reg/Temp	Standard Hours	Work Period
EMP	0	02/22/2010	0	4047	Hourly	Leave	Part-Time	Regular	1.00	Weekly
EMP	0	02/08/2010	0	4047	Hourly	Leave	Part-Time	Regular	1.00	Weekly
EMP	0	12/14/2009	0	4047	Hourly	Leave	Part-Time	Regular	1.00	Weekly
EMP	0	08/24/2009	0	4047	Hourly	Leave	Part-Time	Regular	1.00	Weekly
EMP	0	03/31/2009	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	01/16/2009	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	01/16/2009	1	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	12/16/2008	0	4047	Hourly	FMLA/OJI	Full-Time	Regular	40.00	Weekly
EMP	0	12/15/2008	0	4047	Hourly	FMLA/OJI	Full-Time	Regular	40.00	Weekly
EMP	0	10/24/2008	0	4047	Hourly	FMLA/OJI	Full-Time	Regular	40.00	Weekly
EMP	0	12/17/2007	0	4047	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP	0	09/24/2007	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	09/24/2007	1	4047	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP	0	07/02/2007	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	07/02/2007	1	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	06/18/2007	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	05/22/2007	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	04/23/2007	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	04/09/2007	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	12/18/2006	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	10/23/2006	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	06/19/2006	0	4047	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP	0	06/19/2006	1	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	05/18/2006	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	04/10/2006	0	4047	Hourly	FMLA/OJI	Full-Time	Regular	40.00	Weekly
EMP	0	12/19/2005	0	4047	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP	0	07/18/2005	0	4047	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP	0	05/09/2005	0	4047	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP	0	12/20/2004	0	4047	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP	0	11/08/2004	0	4047	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP	0	11/01/2004	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	07/19/2004	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	06/07/2004	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	04/26/2004	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	12/08/2003	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	12/09/2002	0	4047	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP	0	12/10/2001	0	4047	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP	0	08/06/2001	0	4047	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP	0	07/23/2001	0	4047	Hourly	FMLA/OJI	Full-Time	Regular	40.00	Weekly
EMP	0	07/09/2001	0	4047	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP	0	12/11/2000	0	4047	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP	0	11/02/2000	0	4047	Hourly	Active	Full-Time	Regular	40.00	Weekly
EMP	0	06/27/2000	0	4047	Hourly	Leave	Full-Time	Regular	40.00	Weekly
EMP	0	06/26/2000	0	4047	Hourly	FMLA/OJI	Full-Time	Regular	40.00	Weekly
EMP	0	06/12/2000	0	4047	Hourly	FMLA/OJI	Full-Time	Regular	40.00	Weekly

EMP	0 05/15/2000 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 04/17/2000 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 02/07/2000 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 01/08/2000 0	4047	Hourly	FMLA/OJI	Full-Time	Regular	40.00 Weekly
EMP	0 12/14/1999 0	4047	Hourly	FMLA/OJI	Full-Time	Regular	40.00 Weekly
EMP	0 12/13/1999 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 06/28/1999 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 05/17/1999 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 05/16/1999 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 02/08/1999 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 12/14/1998 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 09/21/1998 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 09/05/1998 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 09/04/1998 0	4047	Hourly	Suspended	Full-Time	Regular	40.00 Weekly
EMP	0 06/29/1998 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 02/09/1998 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 01/26/1998 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 12/15/1997 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 06/02/1997 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 02/10/1997 0	4047	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 12/16/1996 0	4046	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 04/03/1996 0	4046	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 11/13/1993 0	4046	Hourly	Active	Full-Time	Regular	40.00 Weekly
EMP	0 12/29/1986 0	9999	Hourly	Active	Full-Time	Regular	40.00 Weekly



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General

Job Information

Work Location

Salary Plan

Compensation 

Org Relation	Empl Rcd#	Effective Date	Seq	Position	Company	Department	Location	Reports To
EMP	0	02/22/2010	0	CO	COF	Payroll CI	Sheriff's	
EMP	0	02/08/2010	0	CO	COF	Payroll CI	Sheriff's	
EMP	0	12/14/2009	0	CO	COF	Payroll CI	Sheriff's	
EMP	0	08/24/2009	0	CO	COF	Payroll CI	Sheriff's	
EMP	0	03/31/2009	0	CO	COF	Sheriff	Sheriff's	
EMP	0	01/16/2009	0	CO	COF	Sheriff	Sheriff's	
EMP	0	01/16/2009	1	CO	COF	Sheriff	Sheriff's	
EMP	0	12/16/2008	0	CO	COF	Sheriff	Sheriff's	
EMP	0	12/15/2008	0	CO	COF	Sheriff	Sheriff's	
EMP	0	10/24/2008	0	CO	COF	Sheriff	Sheriff's	
EMP	0	12/17/2007	0	CO	COF	Sheriff	Sheriff's	
EMP	0	09/24/2007	0	CO	COF	Sheriff	Sheriff's	
EMP	0	09/24/2007	1	CO	COF	Sheriff	Sheriff's	
EMP	0	07/02/2007	0	CO	COF	Sheriff	Sheriff's	
EMP	0	07/02/2007	1	CO	COF	Sheriff	Sheriff's	
EMP	0	06/18/2007	0	CO	COF	Sheriff	Sheriff's	
EMP	0	05/22/2007	0	CO	COF	Sheriff	Sheriff's	
EMP	0	04/23/2007	0	CO	COF	Sheriff	Sheriff's	
EMP	0	04/09/2007	0	CO	COF	Sheriff	Sheriff's	
EMP	0	12/18/2006	0	CO	COF	Sheriff	Sheriff's	
EMP	0	10/23/2006	0	CO	COF	Sheriff	Sheriff's	
EMP	0	06/19/2006	0	CO	COF	Sheriff	Sheriff's	
EMP	0	06/19/2006	1	CO	COF	Sheriff	Sheriff's	
EMP	0	05/18/2006	0	CO	COF	Sheriff	Sheriff's	
EMP	0	04/10/2006	0	CO	COF	Sheriff	Sheriff's	
EMP	0	12/19/2005	0	CO	COF	Sheriff	Sheriff's	
EMP	0	07/18/2005	0	CO	COF	Sheriff	Sheriff's	
EMP	0	05/09/2005	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	12/20/2004	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	11/08/2004	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	11/01/2004	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	07/19/2004	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	06/07/2004	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	04/26/2004	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	12/08/2003	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	12/09/2002	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	12/10/2001	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	08/06/2001	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	07/23/2001	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	07/09/2001	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	12/11/2000	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	11/02/2000	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	06/27/2000	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	06/26/2000	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	
EMP	0	06/12/2000	0	CNV PD RCD	COF	Sherf Jail	Sheriff's	


EMP	0 05/15/2000 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 04/17/2000 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 02/07/2000 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 01/08/2000 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 12/14/1999 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 12/13/1999 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 06/28/1999 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 05/17/1999 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 05/16/1999 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 02/08/1999 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 12/14/1998 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 09/21/1998 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 09/05/1998 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 09/04/1998 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 06/29/1998 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 02/09/1998 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 01/26/1998 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 12/15/1997 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 06/02/1997 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 02/10/1997 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 12/16/1996 0	CNV PD RCD COF	Sherf Jail	Sheriff's
EMP	0 04/03/1996 0	COF	Sherf Jail	Conversion
EMP	0 11/13/1993 0	COF	Sherf Jail	Conversion
EMP	0 12/29/1986 0	COF	Conversion	Conversion

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Job Information								
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General   Job Information   Work Location   Salary Plan   Compensation								
Org Relation	Empl Rcd#	Effective Date	Seq	Sal Plan	Grade	Step	Pay Group	Frequency
EMP		0 02/22/2010	0	COF	4047	5	REG	Biweekly
EMP		0 02/08/2010	0	COF	4047	5	REG	Biweekly
EMP		0 12/14/2009	0	COF	4047	6	REG	Biweekly
EMP		0 08/24/2009	0	COF	4047	6	REG	Biweekly
EMP		0 03/31/2009	0	COF	4047	6	REG	Biweekly
EMP		0 01/16/2009	0	COF	4047	6	REG	Biweekly
EMP		0 01/16/2009	1	COF	4047	6	REG	Biweekly
EMP		0 12/16/2008	0	COF	4047	6	REG	Biweekly
EMP		0 12/15/2008	0	COF	4047	6	REG	Biweekly
EMP		0 10/24/2008	0	COF	4047	6	REG	Biweekly
EMP		0 12/17/2007	0	COF	4047	6	REG	Biweekly
EMP		0 09/24/2007	0	COF	4047	6	REG	Biweekly
EMP		0 09/24/2007	1	COF	4047	6	REG	Biweekly
EMP		0 07/02/2007	0	COF	4047	6	REG	Biweekly
EMP		0 07/02/2007	1	COF	4047	6	REG	Biweekly
EMP		0 06/18/2007	0	COF	4047	6	REG	Biweekly
EMP		0 05/22/2007	0	COF	4047	5	REG	Biweekly
EMP		0 04/23/2007	0	COF	4047	5	REG	Biweekly
EMP		0 04/09/2007	0	COF	4047	5	REG	Biweekly
EMP		0 12/18/2006	0	COF	4047	5	REG	Biweekly
EMP		0 10/23/2006	0	COF	4047	5	REG	Biweekly
EMP		0 06/19/2006	0	COF	4047	5	REG	Biweekly
EMP		0 06/19/2006	1	COF	4047	5	REG	Biweekly
EMP		0 05/18/2006	0	COF	4047	5	REG	Biweekly
EMP		0 04/10/2006	0	COF	4047	5	REG	Biweekly
EMP		0 12/19/2005	0	COF	4047	5	REG	Biweekly
EMP		0 07/18/2005	0	COF	4047	5	REG	Biweekly
EMP		0 05/09/2005	0	COF	4047	5	REG	Biweekly
EMP		0 12/20/2004	0	COF	4047	5	REG	Biweekly
EMP		0 11/08/2004	0	COF	4047	5	REG	Biweekly
EMP		0 11/01/2004	0	COF	4047	5	REG	Biweekly
EMP		0 07/19/2004	0	COF	4047	5	REG	Biweekly
EMP		0 06/07/2004	0	COF	4047	5	REG	Biweekly
EMP		0 04/26/2004	0	COF	4047	5	REG	Biweekly
EMP		0 12/08/2003	0	COF	4047	5	REG	Biweekly
EMP		0 12/09/2002	0	COF	4047	5	REG	Biweekly
EMP		0 12/10/2001	0	COF	4047	5	REG	Biweekly
EMP		0 08/06/2001	0	COF	4047	5	REG	Biweekly
EMP		0 07/23/2001	0	COF	4047	5	REG	Biweekly
EMP		0 07/09/2001	0	COF	4047	5	REG	Biweekly
EMP		0 12/11/2000	0	COF	4047	5	REG	Biweekly
EMP		0 11/02/2000	0	COF	4047	5	REG	Biweekly
EMP		0 06/27/2000	0	COF	4047	5	REG	Biweekly
EMP		0 06/26/2000	0	COF	4047	5	REG	Biweekly
EMP		0 06/12/2000	0	COF	4047	5	REG	Biweekly


EMP	0 05/15/2000	0	COF	4047	5 REG	Biweekly
EMP	0 04/17/2000	0	COF	4047	5 REG	Biweekly
EMP	0 02/07/2000	0	COF	4047	5 REG	Biweekly
EMP	0 01/08/2000	0	COF	4047	5 REG	Biweekly
EMP	0 12/14/1999	0	COF	4047	5 REG	Biweekly
EMP	0 12/13/1999	0	COF	4047	5 REG	Biweekly
EMP	0 06/28/1999	0	COF	4047	5 REG	Biweekly
EMP	0 05/17/1999	0	COF	4047	5 REG	Biweekly
EMP	0 05/16/1999	0	COF	4047	4 REG	Biweekly
EMP	0 02/08/1999	0	COF	4047	4 REG	Biweekly
EMP	0 12/14/1998	0	COF	4047	4 REG	Biweekly
EMP	0 09/21/1998	0	COF	4047	4 REG	Biweekly
EMP	0 09/05/1998	0	COF	4047	4 REG	Biweekly
EMP	0 09/04/1998	0	COF	4047	4 REG	Biweekly
EMP	0 06/29/1998	0	COF	4047	4 REG	Biweekly
EMP	0 02/09/1998	0	COF	4047	4 REG	Biweekly
EMP	0 01/26/1998	0	COF	4047	3 REG	Biweekly
EMP	0 12/15/1997	0	COF	4047	3 REG	Biweekly
EMP	0 06/02/1997	0	COF	4047	3 REG	Biweekly
EMP	0 02/10/1997	0	COF	4047	3 REG	Biweekly
EMP	0 12/16/1996	0	COF	4046	5 REG	Biweekly
EMP	0 04/03/1996	0	COF		99 REG	Biweekly
EMP	0 11/13/1993	0	COF		99 REG	Biweekly
EMP	0 12/29/1986	0	COF	9999	99 REG	Biweekly

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Job Information										
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General	Job Information	Work Location	Salary Plan	Compensation						
Org Relation	Empl Rcd#	Effective Date	Seq	Annual Rt	Monthly Rt	Daily Rt	Hrly Rate	Currency	Change Percent	Components
EMP	0	02/22/2010	0	1443.650	120.304	5.553	27.762500	USD		<a href="#">Components</a>
EMP	0	02/08/2010	0	1443.650	120.304	5.553	27.762500	USD	-4.760	<a href="#">Components</a>
EMP	0	12/14/2009	0	1515.800	126.317	5.830	29.150000	USD	2.958	<a href="#">Components</a>
EMP	0	08/24/2009	0	1472.250	122.688	5.663	28.312500	USD	-97.500	<a href="#">Components</a>
EMP	0	03/31/2009	0	58890.000	4907.500	226.500	28.312500	USD		<a href="#">Components</a>
EMP	0	01/16/2009	0	58890.000	4907.500	226.500	28.312500	USD		<a href="#">Components</a>
EMP	0	01/16/2009	1	58890.000	4907.500	226.500	28.312500	USD		<a href="#">Components</a>
EMP	0	12/16/2008	0	58890.000	4907.500	226.500	28.312500	USD		<a href="#">Components</a>
EMP	0	12/15/2008	0	58890.000	4907.500	226.500	28.312500	USD		<a href="#">Components</a>
EMP	0	10/24/2008	0	57148.000	4762.333	219.800	27.475000	USD		<a href="#">Components</a>
EMP	0	12/17/2007	0	57148.000	4762.333	219.800	27.475000	USD		<a href="#">Components</a>
EMP	0	09/24/2007	0	55198.000	4599.833	212.300	26.537500	USD		<a href="#">Components</a>
EMP	0	09/24/2007	1	55198.000	4599.833	212.300	26.537500	USD		<a href="#">Components</a>
EMP	0	07/02/2007	0	55198.000	4599.833	212.300	26.537500	USD	1.969	<a href="#">Components</a>
EMP	0	07/02/2007	1	55198.000	4599.833	212.300	26.537500	USD		<a href="#">Components</a>
EMP	0	06/18/2007	0	54132.000	4511.000	208.200	26.025000	USD	4.992	<a href="#">Components</a>
EMP	0	05/22/2007	0	51558.000	4296.500	198.300	24.787500	USD		<a href="#">Components</a>
EMP	0	04/23/2007	0	51558.000	4296.500	198.300	24.787500	USD		<a href="#">Components</a>
EMP	0	04/09/2007	0	51558.000	4296.500	198.300	24.787500	USD		<a href="#">Components</a>
EMP	0	12/18/2006	0	51558.000	4296.500	198.300	24.787500	USD	3.497	<a href="#">Components</a>
EMP	0	10/23/2006	0	49816.000	4151.333	191.600	23.950000	USD		<a href="#">Components</a>
EMP	0	06/19/2006	0	49816.000	4151.333	191.600	23.950000	USD		<a href="#">Components</a>
EMP	0	06/19/2006	1	49816.000	4151.333	191.600	23.950000	USD		<a href="#">Components</a>
EMP	0	05/18/2006	0	49816.000	4151.333	191.600	23.950000	USD		<a href="#">Components</a>
EMP	0	04/10/2006	0	49816.000	4151.333	191.600	23.950000	USD		<a href="#">Components</a>
EMP	0	12/19/2005	0	49816.000	4151.333	191.600	23.950000	USD	2.680	<a href="#">Components</a>
EMP	0	07/18/2005	0	48516.000	4043.000	186.600	23.325000	USD		<a href="#">Components</a>
EMP	0	05/09/2005	0	48516.000	4043.000	186.600	23.325000	USD		<a href="#">Components</a>
EMP	0	12/20/2004	0	48516.000	4043.000	186.600	23.325000	USD	2.471	<a href="#">Components</a>
EMP	0	11/08/2004	0	47346.000	3945.500	182.100	22.762500	USD		<a href="#">Components</a>
EMP	0	11/01/2004	0	47346.000	3945.500	182.100	22.762500	USD		<a href="#">Components</a>
EMP	0	07/19/2004	0	47346.000	3945.500	182.100	22.762500	USD		<a href="#">Components</a>
EMP	0	06/07/2004	0	47346.000	3945.500	182.100	22.762500	USD		<a href="#">Components</a>
EMP	0	04/26/2004	0	47346.000	3945.500	182.100	22.762500	USD	1.618	<a href="#">Components</a>
EMP	0	12/08/2003	0	46592.000	3882.667	179.200	22.400000	USD		<a href="#">Components</a>
EMP	0	12/09/2002	0	46592.000	3882.667	179.200	22.400000	USD	4.005	<a href="#">Components</a>
EMP	0	12/10/2001	0	44798.000	3733.170	172.300	21.537500	USD	3.983	<a href="#">Components</a>
EMP	0	08/06/2001	0	43082.000	3590.170	165.700	20.712500	USD		<a href="#">Components</a>
EMP	0	07/23/2001	0	43082.000	3590.170	165.700	20.712500	USD		<a href="#">Components</a>
EMP	0	07/09/2001	0	43082.000	3590.170	165.700	20.712500	USD	2.032	<a href="#">Components</a>
EMP	0	12/11/2000	0	42224.000	3518.670	162.400	20.300000	USD	5.592	<a href="#">Components</a>
EMP	0	11/02/2000	0	39988.000	3332.330	153.800	19.225000	USD		<a href="#">Components</a>
EMP	0	06/27/2000	0	39988.000	3332.330	153.800	19.225000	USD		<a href="#">Components</a>
EMP	0	06/26/2000	0	39988.000	3332.330	153.800	19.225000	USD	1.518	<a href="#">Components</a>
EMP	0	06/12/2000	0	39390.000	3282.500	151.500	18.937500	USD		<a href="#">Components</a>

EMP	0 05/15/2000 0	39390.000	3282.500	151.500	18.937500 USD		<a href="#">Components</a>
EMP	0 04/17/2000 0	39390.000	3282.500	151.500	18.937500 USD	3.981	<a href="#">Components</a>
EMP	0 02/07/2000 0	37882.000	3156.830	145.700	18.212500 USD		<a href="#">Components</a>
EMP	0 01/08/2000 0	37882.000	3156.830	145.700	18.212500 USD		<a href="#">Components</a>
EMP	0 12/14/1999 0	37882.000	3156.830	145.700	18.212500 USD		<a href="#">Components</a>
EMP	0 12/13/1999 0	37882.000	3156.830	145.700	18.212500 USD	1.533	<a href="#">Components</a>
EMP	0 06/28/1999 0	37310.000	3109.170	143.500	17.937500 USD	1.485	<a href="#">Components</a>
EMP	0 05/17/1999 0	36764.000	3063.667	141.400	17.675000 USD	4.974	<a href="#">Components</a>
EMP	0 05/16/1999 0	35022.000	2918.500	134.700	16.837500 USD		<a href="#">Components</a>
EMP	0 02/08/1999 0	35022.000	2918.500	134.700	16.837500 USD		<a href="#">Components</a>
EMP	0 12/14/1998 0	35022.000	2918.500	134.700	16.837500 USD	1.507	<a href="#">Components</a>
EMP	0 09/21/1998 0	34502.000	2875.170	132.700	16.587500 USD		<a href="#">Components</a>
EMP	0 09/05/1998 0	34502.000	2875.170	132.700	16.587500 USD		<a href="#">Components</a>
EMP	0 09/04/1998 0	34502.000	2875.170	132.700	16.587500 USD		<a href="#">Components</a>
EMP	0 06/29/1998 0	34502.000	2875.170	132.700	16.587500 USD	1.453	<a href="#">Components</a>
EMP	0 02/09/1998 0	34008.000	2834.000	130.800	16.350000 USD	4.976	<a href="#">Components</a>
EMP	0 01/26/1998 0	32396.000	2699.670	124.600	15.575000 USD		<a href="#">Components</a>
EMP	0 12/15/1997 0	32396.000	2699.670	124.600	15.575000 USD	1.548	<a href="#">Components</a>
EMP	0 06/02/1997 0	31902.000	2658.500	122.700	15.337500 USD	1.995	<a href="#">Components</a>
EMP	0 02/10/1997 0	31278.000	2606.500	120.300	15.037500 USD	6.933	<a href="#">Components</a>
EMP	0 12/16/1996 0	29250.000	2437.500	112.500	14.062500 USD		<a href="#">Components</a>
EMP	0 04/03/1996 0				USD		<a href="#">Components</a>
EMP	0 11/13/1993 0				USD		<a href="#">Components</a>
EMP	0 12/29/1986 0	13468.000	1122.330	51.800	6.475000 USD		<a href="#">Components</a>

[Return to Search](#)



1-25-02  
m

EMPLOYEE HISTORY CARD - FRESNO COUNTY

MR. MRS. MISS [REDACTED]  
 NAME LAST FIRST INITIAL S. S. NO. 12/22/59 F/2  
 ADDRESS ZIP PHONE

POSITION TITLE	DEPT.	RANGE-STEP	RATE	EFF. DATE	STATUS	ACTION	SEPARATE
Jail Records Clerk I	Sh-415	493-1	1068 493	12/29/86	Prob	* Cert # 12649	
" " " I	"	493-1	1068 493	6/29/87	Prob	ext Step + Prob to 579-21-87 3 months	
" " " I	"	493-1	1068 493	8/3/87	Prob	mat. LOA 8-3-87 thru 11-19-87	
" " " I	"	493-1	1068 493	12/1/87	Prob	Step ext to 11-2-87	
" " " I	"	493-1	1068 493	10/19/87	Prob	ret. Prob return today 74 Hrs to 12-13-87	
" " " I	"	493-2	1122 518	12/1/87	Prob	* Steps 1 to 2	
" " " I	"	493-2	1122 518	12/13/87	Perm		
JRC II	Sh 416	545-1	1181 545	12/14/87	Perm	* promo to JRC II	
" " " II	"	545-2	1239 572	6/13/88	"	* 3rd Change - 415 to 416	
JRC II	"	567-2	1289 595	6/27/88	"	* Step 1 to 2	
Corr. Serv. Asst	Sh 415	595-2	1354 625	9/19/88	"	* new salary Rg	
C S A	"	607-2	1380 637	12/12/88	"	* Re-class upward 88-42	
C S A	"	607-2	1380 637	5/29/89	"	* new salary range 88-24	
Corr. Serv. Asst	Sh 415	619-2	1408 650	6/26/89	Perm	Mat LOA 6/11/89 thru 10/6/89	
						* new salary range	

MR.  
MRS.  
MISS

EMPLOYEE HISTORY CARD - FRESNO COUNTY

NAME

LAST

FIRST

INITIAL

S. S. NO.

12/22/59

F/2

ADDRESS

ZIP

PHONE

BIRTH DATE

POSITION TITLE	DEPT.	RANGE-STEP	RATE	EFF. DATE	STATUS	ACTION	SEPARATE
Corr Serv Asst	Sh 415	619-2	1408 650	9/18/89	Perm	Ext SI to 9/11/89	
Corr Serv Asst	Sh 415	619-2	1408 650	10/3/89	Perm	Ext LOA thru 9/20/89	
Corr Serv Asst	Sh 415	619-2	1408 650	10/21/89	Perm	Ext LOA thru 10/17/89	
Corr Serv Asst	Sh 415	619-2	1408 650	10/21/89	Perm	Ext SI to 3/19/90	
Corr Serv Asst	Sh 415	619-2	1408 650	12/18/89	Perm	Ext LOA thru 2/5/90	
Corr Serv Asst	Sh 415	638-2	1451 670	12/18/89	Perm	new salary range	
Corr Serv Asst I	Sh 415	638-2	1451 670	1/22/90	Perm	Retitle per 8090-008	
Corr Serv Asst I	Sh 415	638-2	1451 670	2/5/90	Perm	Return to duty	
Corr Serv Asst I	Sh 415	638-2	1451 670	3/19/90	Perm	Ext SI to 7/9/90	
" " " I	Sh 415	638-3	1525 704	7/9/90	"	*Step 2 to 3	
" " " II	"	704-2	1601 739	7/23/90	"	*Promote susp of comp	
" " " II	"	704-2	1601 739	8/21/90	"	LOA thru 9-10-90	
" " " II	"	704-2	1601 739	9/10/90	"	Ext LOA to 10/29/90	
Corr Serv Asst II	Sh 415	704-2	1601 739	11/10/90	Perm	Return to duty	

NAME

MR.  
MRS.  
MISS

EMPLOYEE HISTORY CARD - FRESNO COUNTY

NAME LAST FIRST INITIAL S. S. NO. 12/22/59 F/2

ADDRESS ZIP PHONE

POSITION TITLE	DEPT.	RANGE-STEP	RATE	EFF. DATE	STATUS	ACTION	SEPARATE
Corr Serv Asst II	SH 415	725-2	1648				
Corrections OFF TRN	"	761-4	761	3/4/91	Perm	New salary range	
" "	"	1657-4	761	5/13/91	PROV	Salary Rmn same Reclass down BO. 91-11	
" "	"	1657-4	1648	7/22/91	"	Ext 10-28-91 Step	
" "	"	1657-5	1734	10/28/91	"	*Step 4 to 5	
" "	Sh 415	677-5	1783	10/28/91	Prov	NEW SALARY RANGE	
Corr Officer II	Sh 415	829-2	1885	3/6/92	Perm	Promote to exp level	
" " II	"	854-2	1943	12/21/92	"	NEW SALARY RANGE	
" " II	"	854-2	1943	3/1/93	"	Ext Step 6-7-93	
" " II	"	854-3	2041	4/20/93	Perm	Step 2 to 3 Retro 3-1-93	
" " II	"	880-3	2101	8/20/93	"	NEW SALARY RANGE	
" " II	"	880-3	2101	7/28/94	"	Step Ext 8-29-94	
" " II	"	880-3	2101	8/21/94	"	Ext step to 3-13-95	
Corrections OFF II	Sh 415	880-4	2207	10/24/94	"	Step 3 to 4	
Corrections OFF II	"	880-4	2207	12/5/94	Perm	Retro step 8/29/94	

NAME

E 5/22/91 - Ret MISC (ETI)  
to Ret SAF (STI)

Chas  
P. H. H. H.  
12/1/94

MR.  
MRS.  
MISS

EMPLOYEE HISTORY CARD - FRESNO COUNTY

NAME LAST FIRST INITIAL S. S. NO. 12/22/59 F/2  
ADDRESS ZIP PHONE BIRTH DATE

POSITION TITLE	DEPT.	RANGE-STEP	RATE	EFF. DATE	STATUS	ACTION	SEPARATE
Correctional Off III	Sh 415	1038-2	1090	4/10/95	Prob	Prom CO III Ret 9/27/95	
" " III	"	1038-2	1090	8/14/95	Prob	Per Civil Suits Retra CO III 7-4-95	
" " III	"	1059-2	1112	8/14/95	"	NEW SALARY RANGE	
" " III	"	1091-2	1146	6/18/95	"	NEW SALARY RANGE	
" " III	"	1091-2	1146	1/1/96	"	EXT Step 7-1-96	
Correctional Off II	SH 415	925-4	1071	2/24/96	Perm	Rei on Prob rtn CO II	
" " II	SH 415	925-4	1071	7/7/96	"	1 day susp w/o pay	
" " II	"	925-5	1125	7/1/96	"	Step 4 to 5	
" " II	"	925-5	1125	9/18/96	"	med lv thru 11-22-96	
" " II	SH 415	925-5	1125	11/25/96	Perm	Return duty 11-25-96	
" " III	SH 415	1091-3	1203	2/10/97	Prob	Prom CO III	
" " III	SH 415	1113-3	1227	6/2/97	"	New salary range	
" " III	" 3410	1130-3	1246	12/15/97	"	new salary range	
Correctional Off III	SH 3410	1130-4	1308	2/9/98	Prob	Step 3 to 4	

NAME

MR.  
MRS.  
MISS

12/22/59  
BIRTH DATE

F/2

[illegible]

## Fresno County Employees' Retirement Association Annual Statement of Retirement Benefits

[REDACTED]  
[REDACTED] Ave  
Clovis, CA 93611

### WELCOME MESSAGE:

We are proud to present the Annual Statement of Retirement Benefits for Special District members. Your retirement benefits represent a vital element of your financial planning. This statement provides important information you can use in your retirement planning, such as the current balance of your contributions, your current years of service in the retirement plan, a projection of future benefits you may be entitled to receive, and your current named beneficiary(s).

The Board of Retirement and the FCERA staff encourage you to take the time to review this statement and consider your long term financial objectives. If any of the information is incorrect, or you have questions about your statement or need more information about your retirement plan, please contact the FCERA Office at (559) 457-0681 or visit our website at [www.fcera.org](http://www.fcera.org).

The Board of Retirement invites all members to attend the regularly scheduled meetings which are held on the first and third Wednesday of each month at 8:30 a.m. at 1111 H. St. Fresno, CA 93721.

### PERSONAL INFORMATION:

Soc. Sec. Number(last 4 digits)	: 996	Department	:
Date Of Birth	: [REDACTED]		
Date of Employment	: 7/1/1981		
Status	: Active		
Employment Status	: Full Time		
Classification	: General Tier I		
Entry age for contributions	: 26		
Date of entry into the system	: 7/1/1982		
Beneficiary(s)	: [REDACTED]		
	:		
Years of credited service	: Tier I : 27.50	Tier II : 0.00	

Your years of service do not include any prior service, redeposit, prior public service, or Leave of Absence that you are currently purchasing.

Fresno County Employees' Retirement Association is a defined benefit plan. There are no additional benefits for contributing to the system at a higher age.

### EMPLOYEE CONTRIBUTIONS:

Your contribution rates are based on the age at which you entered the Retirement Association. The rates are applied to your base pay plus fixed-term salary increments paid in recognition of special skills or education achievements in order to obtain your pay period retirement contribution.

Your current retirement contribution is \$109.29.

In 2009 you made contributions of \$2,682.21 into the retirement system through payroll deductions. This contribution total excludes any service which you are currently purchasing through payroll deductions.

**Fresno County Employees' Retirement Association  
Annual Statement of Retirement Benefits**

December 30, 2009

**EMPLOYEE CONTRIBUTIONS:**

Employee contribution balances as of 12/30/2009	Taxed	Taxable	Interest	Total
Basic	892.91	16,678.28	16,044.65	\$33,615.84
Cost-of-Living (COL)	682.08	5,273.11	7,208.70	13,163.89
Supplemental Basic		3,024.18	224.41	3,248.59
Supplemental COL		1,220.14	64.47	1,284.61
<b>Total Contributions and Interest</b>	<b>\$1,574.99</b>	<b>\$26,195.71</b>	<b>\$23,542.23</b>	<b>\$51,312.93</b>

**ESTIMATED RETIREMENT BENEFIT AT EARLIEST RETIREMENT DATE:**

The benefit amount shown here is only an estimate intended to give you an approximate idea of future retirement income expressed in today's dollars. In calculating your benefit estimate, the following assumptions were made:

- 1) You will work continuously at your 12/30/2009 employment status and base compensation rate until the retirement age indicated.
- 2) All your future service will be earned as a General Tier I member
- 3) There will be no changes in the law or our Retirement System between now and the age indicated; and,
- 4) You will meet all eligibility requirements at the projected retirement age.

Reciprocal service may not be included in the estimate. Prior service, redeposit, prior public service, or Leave of Absence that you are currently purchasing is not included in the estimate. The benefit option shown is the unmodified option.

If you retire on 12/30/2009 at age 53 with 27.5 years of service, your estimated monthly retirement benefits will be \$1,955.82.

**SOCIAL SECURITY BENEFIT:**

In addition to Retirement System benefits, you may be entitled to receive Social Security benefits during retirement. You can obtain an estimate of your monthly Social Security benefit by calling Social Security Administration's toll free number 1-(800) 772-1213 and asking for the Request for Earnings and Benefit Estimate Statement form.

The Board of Retirement and the FCERA office hopes you will take the time to review this statement and if you have any questions about the information provided, please contact us immediately. If you would like more information or need to change your beneficiary, address or name, please contact the FCERA Office at (559) 457-0681 or visit our website at [www.fcera.org](http://www.fcera.org).



**Fresno County Employees' Retirement Association  
Annual Statement of Retirement Benefits**

██████████  
██████████ Circle Nw  
Coon Rapids, MN 55448-1558

**WELCOME MESSAGE:**

We are proud to present the Annual Statement of Retirement Benefits for Deferred / Inactive members. Your retirement benefits represent a vital element of your financial planning. This statement provides important information you can use in your retirement planning, such as the current balance of your contributions, your current years of service in the retirement plan, a projection of future benefits you may be entitled to receive, and your current named beneficiary(s).

The Board of Retirement and the FCERA staff encourage you to take the time to review this statement and consider your long term financial objectives. If any of the information is incorrect, or you have questions about your statement or need more information about your retirement plan, please contact the FCERA Office at (559) 457-0681 or visit our website at [www.fcera.org](http://www.fcera.org).

The Board of Retirement invites all members to attend the regularly scheduled meetings which are held on the first and third Wednesday of each month at 8:30 a.m. at 1111 H. St. Fresno, CA 93721.

**PERSONAL INFORMATION:**

Soc. Sec. Number(last 4 digits) :	041	Department :	Chd Fam Sv
Date Of Birth :	██████████		
Date of Employment :	3/31/2003		
Status :	Suspense		
Employment Status :	Full Time		
Classification :	General Tier I		
Entry age for contributions :	47		
Date of entry into the system :	4/14/2003		
Beneficiary(s) :	████████████████████		
	:		
Years of credited service :	Tier I : 5.51	Tier II : 0.00	Tier III : 0.00

**EMPLOYEE CONTRIBUTIONS:**

Employee contribution balances as of 12/30/2009	Taxed	Taxable	Interest	Total
Basic	2,224.96	11,265.11	1,632.68	\$15,122.75
Cost-of-Living (COL)		6,621.83	630.28	7,252.11
Supplemental Basic	45.03	3,884.35	343.78	4,273.16
Supplemental COL		2,542.97	204.84	2,747.81
<b>Total Contributions and Interest</b>	<b>\$2,269.99</b>	<b>\$24,314.26</b>	<b>\$2,811.58</b>	<b>\$29,395.83</b>



**Fresno County Employees' Retirement Association  
Annual Statement of Retirement Benefits**

December 30, 2009

**ESTIMATED RETIREMENT BENEFIT AT EARLIEST RETIREMENT DATE:**

The benefit amount shown here is an estimate of future retirement income. In calculating your benefit estimate, the following assumptions were made:

- 1) You worked as a General Tier I member during your employment;
- 2) Your final compensation is based on your highest average monthly salary earned while a FCERA member or your reciprocal agency highest average monthly salary if available;
- 3) There will be no changes in the law or the Retirement System between now and the age indicated; and,
- 4) You will meet all eligibility requirements at the projected retirement age.

Reciprocal service is not included in the estimate. In order to receive benefits from reciprocity, your date of retirement must be the same for all reciprocal systems. *If you have established reciprocity, please provide FCERA with a copy of your most recent check stub or final compensation from your reciprocal employer to update your records. We would like the paycheck stubs by April 16, 2010 in order for the information to be used in the upcoming actuarial valuation. Please indicate the frequency of your payroll, for example, bi-weekly, semi-monthly, or monthly on the copy.*

Please send to: FCERA  
Attn: Benefits Unit  
1111 H Street  
Fresno, CA 93721

If you retire on 1/29/2012 at age 55 with 5.51 years of service, your estimated monthly retirement benefits will be \$803.68.

The benefit shown is payable under the unmodified option. Under this option, your spouse or registered domestic partner at the time you retire may be eligible to receive 60% of your benefit after your death as a continuing benefit. You may select from several other benefit payment options in addition to the one shown here. After you retire, your benefit may be adjusted for cost of living each year on April 1.

**SOCIAL SECURITY BENEFIT:**

In addition to Retirement System benefits, you may be entitled to receive Social Security benefits during retirement. You can obtain an estimate of your monthly Social Security benefit by calling Social Security Administration's toll free number 1-(800) 772-1213 and asking for the Request for Earnings and Benefit Estimate Statement form.

The Board of Retirement and the FCERA office hopes you will take the time to review this statement and if you have any questions about the information provided, please contact us immediately. If you would like more information or need to change your beneficiary, address or name, please contact the FCERA Office at (559) 457-0681 or visit our website at [www.fcera.org](http://www.fcera.org).



**Fresno County Employees' Retirement Association  
Annual Statement of Retirement Benefits**

[REDACTED]  
[REDACTED] Ave  
Kingsburg, CA 93631-1255

**WELCOME MESSAGE:**

We are proud to present the Annual Statement of Retirement Benefits for Deferred / Inactive Special District members. Your retirement benefits represent a vital element of your financial planning. This statement provides important information you can use in your retirement planning, such as the current balance of your contributions, your current years of service in the retirement plan, a projection of future benefits you may be entitled to receive, and your current named beneficiary(s).

The Board of Retirement and the FCERA staff encourage you to take the time to review this statement and consider your long term financial objectives. If any of the information is incorrect, or you have questions about your statement or need more information about your retirement plan, please contact the FCERA Office at (559) 457-0681 or visit our website at [www.fcera.org](http://www.fcera.org).

The Board of Retirement invites all members to attend the regularly scheduled meetings which are held on the first and third Wednesday of each month at 8:30 a.m. at 1111 H. St. Fresno, CA 93721.

**PERSONAL INFORMATION:**

Soc. Sec. Number(last 4 digits)	: 182	Department	:
Date Of Birth	: [REDACTED]		
Date of Employment	: 1/16/2001		
Status	: Deferred		
Employment Status	: Full Time		
Classification	: Safety Tier I		
Entry age for contributions	: 31		
Date of entry into the system	: 1/30/2001		
Beneficiary(s)	: [REDACTED]		
	:		
Years of credited service	: Tier I : 6.46	Tier II	: 0.00

**EMPLOYEE CONTRIBUTIONS:**

Employee contribution balances as of 12/30/2009	Taxed	Taxable	Interest	Total
Basic		14,094.15	1,720.28	\$15,814.43
Cost-of-Living (COL)		6,007.26	577.43	6,584.69
Supplemental Basic		2,609.73	284.27	2,894.00
Supplemental COL		1,162.37	101.80	1,264.17
<b>Total Contributions and Interest</b>	<b>\$0.00</b>	<b>\$23,873.51</b>	<b>\$2,683.78</b>	<b>\$26,557.29</b>

**Fresno County Employees' Retirement Association  
Annual Statement of Retirement Benefits**

December 30, 2009

**ESTIMATED RETIREMENT BENEFIT AT EARLIEST RETIREMENT DATE:**

The benefit amount shown here is an estimate of future retirement income. In calculating your benefit estimate, the following assumptions were made:

- 1) You worked as a Safety Tier I member during your employment;
- 2) Your final compensation is based on your highest average monthly salary earned while a FCERA member or your reciprocal agency highest average monthly salary if available;
- 3) There will be no changes in the law or the Retirement System between now and the age indicated; and,
- 4) You will meet all eligibility requirements at the projected retirement age.

Reciprocal service is not included in the estimate. In order to receive benefits from reciprocity, your date of retirement must be the same for all reciprocal systems. *If you have established reciprocity, please provide FCERA with a copy of your most recent check stub or final compensation from your reciprocal employer to update your records. We would like the paycheck stubs by April 16, 2010 in order for the information to be used in the upcoming actuarial valuation. Please indicate the frequency of your payroll, for example, bi-weekly, semi-monthly, or monthly on the copy.*

Please send to: FCERA  
Attn: Benefits Unit  
1111 H Street  
Fresno, CA 93721

If you retire on 2/4/2018 at age 50 with 6.46 years of service, your estimated monthly retirement benefits will be \$929.01.

The benefit shown is payable under the unmodified option. Under this option, your spouse or registered domestic partner at the time you retire may be eligible to receive 60% of your benefit after your death as a continuing benefit. You may select from several other benefit payment options in addition to the one shown here. After you retire, your benefit may be adjusted for cost of living each year on April 1.

**SOCIAL SECURITY BENEFIT:**

In addition to Retirement System benefits, you may be entitled to receive Social Security benefits during retirement. You can obtain an estimate of your monthly Social Security benefit by calling Social Security Administration's toll free number 1-(800) 772-1213 and asking for the Request for Earnings and Benefit Estimate Statement form.

The Board of Retirement and the FCERA office hopes you will take the time to review this statement and if you have any questions about the information provided, please contact us immediately. If you would like more information or need to change your beneficiary, address or name, please contact the FCERA Office at (559) 457-0681 or visit our website at [www.fcera.org](http://www.fcera.org).



FRESNO COUNTY  
EMPLOYEES' RETIREMENT ASSOCIATION

**APPLICATION FOR DISABILITY RETIREMENT**

(Please type or print in ink)

Board of Retirement  
1111 H Street  
Fresno, California 93721

Gentlemen:

I have become permanently incapacitated for the performance of my duties in the position of \_\_\_\_\_

\_\_\_\_\_

in the Department of \_\_\_\_\_

I hereby apply for

- ☐ Service-connected disability retirement  
☐ Nonservice-connected disability retirement

**NOTE:** If the Board of Retirement finds that you are permanently incapacitated from the duties of your job, but that such incapacity did not arise out of your employment, the Board will consider your application as an application for a nonservice-connected disability retirement you may appeal that decision. However, the finding of disability will not be binding upon the Board if appealed.

Yes ☐ I am willing to remain in service and accept a modified position with the County of Fresno which I could  
No ☐ perform and which will not result in a loss of income to me.

Yes ☐ If final determination is not made upon my application for disability retirement within 90 days after I file my  
No ☐ application and if I meet the minimum age and years of service eligibility requirements. I wish to be sent an application for a service retirement pending the determination of eligibility for disability retirement.

Name: \_\_\_\_\_

Other names used during County employment: \_\_\_\_\_

Social Security Number: \_\_\_\_\_

Address: \_\_\_\_\_

(No. Street, Apt. No.)

(City)

(State)

(Zip Code)

Home Telephone No. (    ) \_\_\_\_\_ Work Telephone No. (    ) \_\_\_\_\_

Age: \_\_\_\_\_ Sex: \_\_\_\_\_ Birth Date: \_\_\_\_\_ Years of Service: \_\_\_\_\_

Date Last Worked: \_\_\_\_\_

Are you married at present: ☐ Yes ☐ No If yes:

Spouse's Name: \_\_\_\_\_ Social Security Number: \_\_\_\_\_

Spouse's Birth Date: \_\_\_\_\_ Date of Marriage: \_\_\_\_\_

Names and Birth Dates of children under 18 years of age: \_\_\_\_\_

\_\_\_\_\_

Please complete each page of this application. If more space is required, attach additional sheets.

Current employment status with the County (check all items that apply to you);

- ☐ Working \_\_\_\_\_ hours per week.
- ☐ Sick Leave with compensation. Approximate date paid leave ends: \_\_\_\_\_
- ☐ Industrial leave with compensation. Approximate date paid leave ends: \_\_\_\_\_
- ☐ Resigned or terminated from County Service. Effective date: \_\_\_\_\_
- ☐ Sick leave without compensation. Date paid compensation ended: \_\_\_\_\_
- ☐ Other. Please specify: \_\_\_\_\_

1. Describe specifically the injury or illness that you claim is causing you to be permanently disabled from performing your duties.

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2. How and where did the injury or illness occur? (Please answer completely.)

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3. On what date were you injured or did you first notice that you were ill?

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4. If your disability is the result of a job-related injury (or injuries) or a job-related disease or illness, list all witnesses. Give names, work locations, phone numbers and addresses of the witnesses.

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5. Describe the actual duties which you were assigned and which you performed at the time your disability arose.

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6. State specifically, and in detail, the duties that you cannot perform because of your disability.

This image shows a blank sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

7. Have you ever received treatment for a SIMILAR injury or illness?

☐ Yes      ☐ No      If yes:  
a. Give the dates of treatment.

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b. Give the names and addresses of the treating doctors, hospitals or clinics.

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8. Are you presently employed, part-time or otherwise, by anyone other than the County of Fresno?

☐ Yes    ☐ No    If yes, list the employer's name, address, telephone number, and your job duties.

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9. List all branches of the military service in which you served, where stationed and when.

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10. List all employers (including other County departments) for whom you have worked in the last 10 years. Include addresses, telephone numbers, periods of employment and names of all supervisors.

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11. List the names, addresses and telephone numbers of all doctors or other individuals consulted for diagnosis or treatment relating to the subject injury or disease. Include the approximate dates of consultation, if known. Please include any doctors with whom you have appointments scheduled in the future for additional medical services that pertain to this injury or disease. List the dates of the future appointments.

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12. Are you now or have you ever received any kind of disability benefits, including pension, awards or medical compensation for this or any other injury or illness?

☐ Yes    ☐ No    If yes, give details.

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13. Have you applied for Workers' Compensation for this or any other injury or illness?

☐ Yes    ☐ No    If yes, state the date(s) the application(s) was/were filed.

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14. Include any further information you might offer to help the Board of Retirement in determining your disability.

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15. Will you be represented in this application for disability retirement by an attorney?  
☐ Yes ☐ No If yes, include Attorney's name address and telephone number.

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16. I will provide the names and addresses of any medical providers who see me subsequent to the date of this application. I will also provide the Association with any information that changes, adds to, or modifies any of my responses given above as soon as I receive such information.

17. I understand and acknowledge that this Application of Disability Retirement will not be deemed complete nor accepted for processing by the Fresno County Employees' Retirement Association unless and until I provide a copy of a medical or psychological report prepared by a licensed physician or psychologist who has treated me stating that I am permanently disabled from the performance of the duties of my position, and which report sets forth the causes for my disability. I understand that the cost of this report is my responsibility. I further understand that if I do not obtain this report promptly, that my application may be untimely which may cause me to lose my rights to a disability retirement, pursuant to Government code, Section 31722. I understand that Government Code, section 31722 provides that my application shall be made while I am in service, within four months after I discontinue service, within four months after expiration of any period during which a presumption is extended beyond my discontinuance of service, or while, from the date of discontinuance of service to the time of my application, I am continuously physically or mentally incapacitated to perform my duties.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_ at \_\_\_\_\_, California.

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
\*Authorized Employee Signature

\*Title \_\_\_\_\_ \*Phone Number \_\_\_\_\_

\*Required only when department files on behalf of employee.



# FCERA Payroll Import Control Total Report for 10/18/2010 - 10/31/2010 - Totals from PeopleSoft Payroll Data

		Employee Retirement Contributions							
		Pay				Buy Back			
Status	Count	Basic	COL	Supp Basic	Supp COL	Basic	COL	Supp Basic	Supp COL
<b>Membership: G</b>									
A	5,781	377,879.59	238,183.64	169,583.94	74,158.84	4,592.40	887.46	0.00	0.00
D	4	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
F	19	35.18	22.19	16.02	7.06	0.00	0.00	0.00	0.00
L	54	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
P	1	126.38	79.75	57.79	25.35	0.00	0.00	0.00	0.00
T	436	667.21	420.49	310.80	135.88	0.00	0.00	0.00	0.00
<b>Total G</b>	<b>6,295</b>	<b>378,708.36</b>	<b>238,706.07</b>	<b>169,968.55</b>	<b>74,327.13</b>	<b>4,592.40</b>	<b>887.46</b>	<b>0.00</b>	<b>0.00</b>
<b>Membership: G2</b>									
A	142	9,618.74	7,484.22	0.00	0.00	118.67	0.00	0.00	0.00
L	1	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
T	15	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total G2</b>	<b>158</b>	<b>9,618.74</b>	<b>7,484.22</b>	<b>0.00</b>	<b>0.00</b>	<b>118.67</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>Membership: G3</b>									
A	648	36,426.87	22,645.69	0.00	0.00	319.11	225.40	0.00	0.00
D	1	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
F	2	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
L	13	55.84	34.77	0.00	0.00	0.00	0.00	0.00	0.00
T	34	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total G3</b>	<b>698</b>	<b>36,482.71</b>	<b>22,680.46</b>	<b>0.00</b>	<b>0.00</b>	<b>319.11</b>	<b>225.40</b>	<b>0.00</b>	<b>0.00</b>
<b>Membership: S</b>									
A	738	88,289.66	76,891.87	22,062.72	14,484.20	627.20	221.30	0.00	0.00
D	1	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
F	1	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
L	26	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
T	20	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total S</b>	<b>786</b>	<b>88,289.66</b>	<b>76,891.87</b>	<b>22,062.72</b>	<b>14,484.20</b>	<b>627.20</b>	<b>221.30</b>	<b>0.00</b>	<b>0.00</b>
<b>Membership: S2</b>									
A	39	4,234.09	4,137.96	0.00	0.00	41.88	24.87	0.00	0.00
F	1	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

# FCERA Payroll Import Control Total Report for 10/18/2010 - 10/31/2010 - Totals from PeopleSoft Payroll Data

		Employee Retirement Contributions							
Status	Count	Pay				Buy Back			
		Basic	COL	Supp Basic	Supp COL	Basic	COL	Supp Basic	Supp COL
T	2	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total S2</b>	42	4,234.09	4,137.96	0.00	0.00	41.88	24.87	0.00	0.00
<b>Grand Total</b>	7,979	517,333.56	349,900.58	192,031.27	88,811.33	5,699.26	1,359.03	0.00	0.00

# FCERA Payroll Import Control Total Report for 10/18/2010 - 10/31/2010 - Totals from PeopleSoft Payroll Data

## Employer Retirement Contributions

Status	Count	Basic <= \$162	Basic > \$162	COL <= \$162	COL > \$162	Supp Basic <= \$162	Supp Basic > \$162	Supp COL <= \$162	Supp COL > \$162
<b>Membership: G</b>									
A	5,781	148,144.75	1,809,968.25	56,741.75	693,095.08	56,895.80	695,124.12	0.00	0.00
D	4	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
F	19	28.85	205.35	11.05	78.63	11.08	78.87	0.00	0.00
L	54	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
P	1	28.85	582.65	11.05	223.12	11.08	223.77	0.00	0.00
T	436	230.80	2,918.37	88.40	1,117.55	88.64	1,120.80	0.00	0.00
<b>Total G</b>	<b>6,295</b>	<b>148,433.25</b>	<b>1,813,674.62</b>	<b>56,852.25</b>	<b>694,514.38</b>	<b>57,006.60</b>	<b>696,547.56</b>	<b>0.00</b>	<b>0.00</b>
<b>Membership: G2</b>									
A	142	4,374.60	55,595.62	1,520.76	19,317.89	695.52	8,835.06	0.00	0.00
L	1	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
T	15	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total G2</b>	<b>158</b>	<b>4,374.60</b>	<b>55,595.62</b>	<b>1,520.76</b>	<b>19,317.89</b>	<b>695.52</b>	<b>8,835.06</b>	<b>0.00</b>	<b>0.00</b>
<b>Membership: G3</b>									
A	648	19,024.70	157,519.12	7,067.24	58,485.29	3,294.60	27,293.20	0.00	0.00
D	1	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
F	2	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
L	13	29.45	291.79	10.94	108.34	5.10	50.56	0.00	0.00
T	34	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total G3</b>	<b>698</b>	<b>19,054.15</b>	<b>157,810.91</b>	<b>7,078.18</b>	<b>58,593.63</b>	<b>3,299.70</b>	<b>27,343.76</b>	<b>0.00</b>	<b>0.00</b>
<b>Membership: S</b>									
A	738	29,055.28	486,705.08	18,315.28	306,789.19	7,611.08	127,456.21	0.00	0.00
D	1	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
F	1	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
L	26	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
T	20	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total S</b>	<b>786</b>	<b>29,055.28</b>	<b>486,705.08</b>	<b>18,315.28</b>	<b>306,789.19</b>	<b>7,611.08</b>	<b>127,456.21</b>	<b>0.00</b>	<b>0.00</b>
<b>Membership: S2</b>									
A	39	1,687.96	25,234.16	985.72	14,733.75	172.90	2,586.03	0.00	0.00
F	1	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

# FCERA Payroll Import Control Total Report for 10/18/2010 - 10/31/2010 - Totals from PeopleSoft Payroll Data

		Employer Retirement Contributions							
Status	Count	Basic <= \$162	Basic > \$162	COL <= \$162	COL > \$162	Supp Basic <= \$162	Supp Basic > \$162	Supp COL <= \$162	Supp COL > \$162
T	2	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total S2	42	1,687.96	25,234.16	985.72	14,733.75	172.90	2,586.03	0.00	0.00
Grand Total	7,979	202,605.24	2,539,020.39	84,752.19	1,093,948.84	68,785.80	862,768.62	0.00	0.00

# FCERA Control Totals Summary Report – Safety Contributions

# County Employees – Final Report

Category: County – Active

Participant Count: 6,848

Payroll Period: 10/5/2010 to 10/18/2010

Taxable			
Basic	COL	Supp Basic	Supp COL

Taxed			
Basic	COL	Supp Basic	Supp COL

## Safety Tier I

Beginning Balance	<del>\$27,949,224.86</del>	<del>\$12,805,624.41</del>	<del>\$3,851,900.59</del>	<del>\$2,129,684.77</del>	<del>\$152,881.66</del>	<del>\$92,408.43</del>	<del>\$658.87</del>	<del>\$416.86</del>
User Adjustments	<del>3,421.66</del>	<del>2,224.11</del>	<del>185.17</del>	<del>0.00</del>	<del>85.18</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>
Refunds	<del>(36,963.74)</del>	<del>(16,099.25)</del>	<del>(5,582.74)</del>	<del>(3,026.67)</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>
Semi-Annual Interest	<del>0.61</del>	<del>0.53</del>	<del>0.00</del>	<del>0.00</del>				
Transfers In	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>
Transfers Out	<del>2,837.10</del>	<del>2,463.72</del>	<del>707.70</del>	<del>465.15</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>
Unknown	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>
Subtotal	<del>\$27,918,520.49</del>	<del>\$12,794,213.52</del>	<del>\$3,847,210.72</del>	<del>\$2,127,123.25</del>	<del>\$152,966.84</del>	<del>\$92,408.43</del>	<del>\$658.87</del>	<del>\$416.86</del>
Current Contributions	<del>88,289.66</del>	<del>76,891.87</del>	<del>22,062.72</del>	<del>14,484.20</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>
Ongoing Buy Backs	<del>627.20</del>	<del>221.30</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>
Ending Balance	<del>\$28,007,437.35</del>	<del>\$12,871,326.69</del>	<del>\$3,869,273.44</del>	<del>\$2,141,607.45</del>	<del>\$152,966.84</del>	<del>\$92,408.43</del>	<del>\$658.87</del>	<del>\$416.86</del>

## Safety Tier II

Beginning Balance	<del>\$408,832.05</del>	<del>\$379,850.88</del>	<del>\$0.00</del>	<del>\$0.00</del>
User Adjustments	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>
Refunds	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>
Semi-Annual Interest	<del>0.00</del>	<del>0.00</del>		
Transfers In	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>
Transfers Out	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>
Unknown	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>
Subtotal	<del>\$408,832.05</del>	<del>\$379,850.88</del>	<del>\$0.00</del>	<del>\$0.00</del>
Current Contributions	<del>4,234.09</del>	<del>4,137.96</del>	<del>0.00</del>	<del>0.00</del>
Ongoing Buy Backs	<del>41.88</del>	<del>24.87</del>	<del>0.00</del>	<del>0.00</del>
Ending Balance	<del>\$413,108.02</del>	<del>\$384,013.71</del>	<del>\$0.00</del>	<del>\$0.00</del>

## FCERA Control Totals Summary Report – Safety Contributions

Category: County – Clearinghouse

Participant Count: 16

## County Employees – Final Report

Payroll Period: 10/5/2010 to 10/18/2010

Taxable			
Basic	COL	Supp Basic	Supp COL

Taxed			
Basic	COL	Supp Basic	Supp COL

### Safety Tier I

Beginning Balance	\$363,536.22	\$144,852.20	\$22,864.47	\$11,696.28	\$8,390.07	\$5,813.68	\$0.00	\$0.00
User Adjustments	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Refunds	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Semi-Annual Interest	0.00	0.00	0.00	0.00				
Transfers In	25,839.40	14,486.13	(707.70)	(465.15)	669.25	477.16	0.00	0.00
Transfers Out	(300,978.18)	(122,639.16)	(16,881.88)	(8,845.33)	(8,390.07)	(5,813.68)	0.00	0.00
Unknown	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Subtotal	\$88,397.44	\$36,699.17	\$5,274.89	\$2,385.80	\$669.25	\$477.16	\$0.00	\$0.00
Current Contributions	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ongoing Buy Backs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ending Balance	\$88,397.44	\$36,699.17	\$5,274.89	\$2,385.80	\$669.25	\$477.16	\$0.00	\$0.00

### Safety Tier II

Beginning Balance	\$0.00	\$0.00			\$0.00	\$0.00		
User Adjustments	0.00	0.00			0.00	0.00		
Refunds	0.00	0.00			0.00	0.00		
Semi-Annual Interest	0.00	0.00						
Transfers In	0.00	0.00			0.00	0.00		
Transfers Out	0.00	0.00			0.00	0.00		
Unknown	0.00	0.00			0.00	0.00		
Subtotal	\$0.00	\$0.00			\$0.00	\$0.00		
Current Contributions	0.00	0.00			0.00	0.00		
Ongoing Buy Backs	0.00	0.00			0.00	0.00		
Ending Balance	\$0.00	\$0.00			\$0.00	\$0.00		

# FCERA Control Totals Summary Report – Safety Contributions

# County Employees – Final Report

Category: County – Deferred

Participant Count: 1,078

Payroll Period: 10/5/2010 to 10/18/2010

Taxable			
Basic	COL	Supp Basic	Supp COL

Taxed			
Basic	COL	Supp Basic	Supp COL

## Safety Tier I

Beginning Balance	\$1,161,283.85	\$278,123.51	\$46,877.57	\$17,312.00	\$33,757.93	\$13,225.75	\$0.00	\$0.00
User Adjustments	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Refunds	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Semi-Annual Interest	0.00	0.00	0.00	0.00				
Transfers In	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Transfers Out	(28,676.50)	(16,949.85)	0.00	0.00	(669.25)	(477.16)	0.00	0.00
Unknown	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Subtotal	\$1,132,607.35	\$261,173.66	\$46,877.57	\$17,312.00	\$33,088.68	\$12,748.59	\$0.00	\$0.00
Current Contributions	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ongoing Buy Backs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ending Balance	\$1,132,607.35	\$261,173.66	\$46,877.57	\$17,312.00	\$33,088.68	\$12,748.59	\$0.00	\$0.00

## Safety Tier II

Beginning Balance	\$8,601.28	\$7,427.31	\$0.00	\$0.00
User Adjustments	0.00	0.00	0.00	0.00
Refunds	0.00	0.00	0.00	0.00
Semi-Annual Interest	0.00	0.00		
Transfers In	0.00	0.00	0.00	0.00
Transfers Out	0.00	0.00	0.00	0.00
Unknown	0.00	0.00	0.00	0.00
Subtotal	\$8,601.28	\$7,427.31	\$0.00	\$0.00
Current Contributions	0.00	0.00	0.00	0.00
Ongoing Buy Backs	0.00	0.00	0.00	0.00
Ending Balance	\$8,601.28	\$7,427.31	\$0.00	\$0.00

# FCERA Control Totals Summary Report – Safety Contributions

# County Employees – Final Report

Category: County – Inactive

Participant Count: 1,198

Payroll Period: 10/5/2010 to 10/18/2010

Taxable			
Basic	COL	Supp Basic	Supp COL

Taxed			
Basic	COL	Supp Basic	Supp COL

## Safety Tier I

Beginning Balance	\$175,459.69	\$69,456.12	\$25,590.88	\$13,059.18	\$0.00	\$0.00	\$0.00	\$0.00
User Adjustments	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Refunds	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Semi-Annual Interest	0.00	0.00	0.00	0.00				
Transfers In	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Transfers Out	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Unknown	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Subtotal	\$175,459.69	\$69,456.12	\$25,590.88	\$13,059.18	\$0.00	\$0.00	\$0.00	\$0.00
Current Contributions	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ongoing Buy Backs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ending Balance	\$175,459.69	\$69,456.12	\$25,590.88	\$13,059.18	\$0.00	\$0.00	\$0.00	\$0.00

## Safety Tier II

Beginning Balance	\$27,186.36	\$24,520.73	\$0.00	\$0.00
User Adjustments	0.00	0.00	0.00	0.00
Refunds	0.00	0.00	0.00	0.00
Semi-Annual Interest	0.00	0.00		
Transfers In	0.00	0.00	0.00	0.00
Transfers Out	0.00	0.00	0.00	0.00
Unknown	0.00	0.00	0.00	0.00
Subtotal	\$27,186.36	\$24,520.73	\$0.00	\$0.00
Current Contributions	0.00	0.00	0.00	0.00
Ongoing Buy Backs	0.00	0.00	0.00	0.00
Ending Balance	\$27,186.36	\$24,520.73	\$0.00	\$0.00



## FCERA Control Totals Summary Report – Safety Contributions

Category: County – Not Participating

Participant Count: 21

## County Employees – Final Report

Payroll Period: 10/5/2010 to 10/18/2010

Taxable			
Basic	COL	Supp Basic	Supp COL

### Safety Tier I

Beginning Balance	\$0.00	\$0.00	\$0.00	\$0.00
User Adjustments	0.00	0.00	0.00	0.00
Refunds	0.00	0.00	0.00	0.00
Semi-Annual Interest	0.00	0.00	0.00	0.00
Transfers In	0.00	0.00	0.00	0.00
Transfers Out	0.00	0.00	0.00	0.00
Unknown	0.00	0.00	0.00	0.00
Subtotal	\$0.00	\$0.00	\$0.00	\$0.00
Current Contributions	0.00	0.00	0.00	0.00
Ongoing Buy Backs	0.00	0.00	0.00	0.00
Ending Balance	\$0.00	\$0.00	\$0.00	\$0.00

### Safety Tier II

Beginning Balance	\$4.30	\$4.09
User Adjustments	0.00	0.00
Refunds	0.00	0.00
Semi-Annual Interest	0.00	0.00
Transfers In	0.00	0.00
Transfers Out	0.00	0.00
Unknown	0.00	0.00
Subtotal	\$4.30	\$4.09
Current Contributions	0.00	0.00
Ongoing Buy Backs	0.00	0.00
Ending Balance	\$4.30	\$4.09

Taxed			
Basic	COL	Supp Basic	Supp COL

\$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	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
\$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

## FCERA Control Totals Summary Report – Safety Contributions

## County Employees – Final Report

Category: County – Refund

Participant Count: 790

Payroll Period: 10/5/2010 to 10/18/2010

Taxable			
Basic	COL	Supp Basic	Supp COL

Taxed			
Basic	COL	Supp Basic	Supp COL

### Safety Tier I

Beginning Balance	\$115,704.32	\$24,482.56	\$1,961.97	\$63.27	\$0.00	\$0.00	\$0.00	\$0.00
User Adjustments	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Refunds	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Semi-Annual Interest	0.00	0.00	0.00	0.00				
Transfers In	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Transfers Out	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Unknown	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Subtotal	\$115,704.32	\$24,482.56	\$1,961.97	\$63.27	\$0.00	\$0.00	\$0.00	\$0.00
Current Contributions	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ongoing Buy Backs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ending Balance	\$115,704.32	\$24,482.56	\$1,961.97	\$63.27	\$0.00	\$0.00	\$0.00	\$0.00

### Safety Tier II

Beginning Balance	\$0.00	\$0.00	\$0.00	\$0.00
User Adjustments	0.00	0.00	0.00	0.00
Refunds	0.00	0.00	0.00	0.00
Semi-Annual Interest	0.00	0.00		
Transfers In	0.00	0.00	0.00	0.00
Transfers Out	0.00	0.00	0.00	0.00
Unknown	0.00	0.00	0.00	0.00
Subtotal	\$0.00	\$0.00	\$0.00	\$0.00
Current Contributions	0.00	0.00	0.00	0.00
Ongoing Buy Backs	0.00	0.00	0.00	0.00
Ending Balance	\$0.00	\$0.00	\$0.00	\$0.00

# FCERA Control Totals Summary Report – Safety Contributions

Category: County – Suspense

Participant Count: 304

# County Employees – Final Report

Payroll Period: 10/5/2010 to 10/18/2010

Taxable			
Basic	COL	Supp Basic	Supp COL

Taxed			
Basic	COL	Supp Basic	Supp COL

## Safety Tier I

Beginning Balance	\$411,646.40	\$121,819.08	\$47,160.34	\$20,818.95	\$2,069.23	\$0.00	\$0.00	\$0.00
User Adjustments	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Refunds	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Semi-Annual Interest	0.00	0.00	0.00	0.00				
Transfers In	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Transfers Out	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Unknown	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Subtotal	\$411,646.40	\$121,819.08	\$47,160.34	\$20,818.95	\$2,069.23	\$0.00	\$0.00	\$0.00
Current Contributions	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ongoing Buy Backs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ending Balance	\$411,646.40	\$121,819.08	\$47,160.34	\$20,818.95	\$2,069.23	\$0.00	\$0.00	\$0.00

## Safety Tier II

Beginning Balance	\$5,517.12	\$5,355.57	\$0.00	\$0.00
User Adjustments	0.00	0.00	0.00	0.00
Refunds	0.00	0.00	0.00	0.00
Semi-Annual Interest	0.00	0.00		
Transfers In	0.00	0.00	0.00	0.00
Transfers Out	0.00	0.00	0.00	0.00
Unknown	0.00	0.00	0.00	0.00
Subtotal	\$5,517.12	\$5,355.57	\$0.00	\$0.00
Current Contributions	0.00	0.00	0.00	0.00
Ongoing Buy Backs	0.00	0.00	0.00	0.00
Ending Balance	\$5,517.12	\$5,355.57	\$0.00	\$0.00

## FCERA Control Totals Summary Report – Safety Contributions

## County Employees – Final Report

Total Participants Processed: 10,255

	Taxable				Taxed			
	Basic	COL	Supp Basic	Supp COL	Basic	COL	Supp Basic	Supp COL
<b>Safety Tier I</b>								
Grand Total	\$29,931,252.55	\$13,384,957.28	\$3,996,139.09	\$2,195,246.65	\$188,794.00	\$105,634.18	\$658.87	\$416.86
Unknown	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Safety Tier II</b>								
Grand Total	\$454,417.08	\$421,321.41			\$0.00	\$0.00		
Unknown	0.00	0.00			0.00	0.00		

# FCERA Control Totals Summary Report – General Contributions

## County Employees – Final Report

Category: County – Active

Participant Count: 6,848

Payroll Period: 10/5/2010 to 10/18/2010

	Taxable				Taxed			
	Basic	COL	Supp Basic	Supp COL	Basic	COL	Supp Basic	Supp COL
<b>General Tier I</b>								
Beginning Balance	<del>\$111,162,453.39</del>	<del>\$44,435,523.77</del>	<del>\$27,744,303.36</del>	<del>\$12,195,267.50</del>	<del>\$1,405,630.78</del>	<del>\$749,870.29</del>	<del>\$16,005.69</del>	<del>\$3,327.46</del>
User Adjustments	<del>2,045.80</del>	<del>1,272.92</del>	<del>532.55</del>	<del>232.55</del>	<del>1,315.44</del>	<del>627.00</del>	<del>0.00</del>	<del>0.00</del>
Refunds	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>
Semi-Annual Interest	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>				
Transfers In	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>
Transfers Out	<del>(166,912.21)</del>	<del>(86,967.09)</del>	<del>(48,590.70)</del>	<del>(22,445.11)</del>	<del>(20,979.28)</del>	<del>(5,447.24)</del>	<del>(129.55)</del>	<del>0.00</del>
Unknown	<del>55,376.88</del>	<del>19,546.34</del>	<del>7,961.51</del>	<del>3,338.31</del>	<del>423.00</del>	<del>301.52</del>	<del>0.00</del>	<del>0.00</del>
Subtotal	<del>\$111,052,963.86</del>	<del>\$44,369,375.94</del>	<del>\$27,704,206.72</del>	<del>\$12,176,393.25</del>	<del>\$1,386,389.94</del>	<del>\$745,351.57</del>	<del>\$15,876.14</del>	<del>\$3,327.46</del>
Current Contributions	<del>378,176.35</del>	<del>238,370.58</del>	<del>169,709.36</del>	<del>74,213.89</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>
Ongoing Buy Backs	<del>4,051.42</del>	<del>827.96</del>	<del>514.42</del>	<del>68.51</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>	<del>0.00</del>
Ending Balance	<del>\$111,435,191.63</del>	<del>\$44,608,574.48</del>	<del>\$27,874,430.50</del>	<del>\$12,250,675.65</del>	<del>\$1,386,389.94</del>	<del>\$745,351.57</del>	<del>\$15,876.14</del>	<del>\$3,327.46</del>
<b>General Tier II</b>								
Beginning Balance	<del>\$924,495.87</del>	<del>\$684,996.18</del>			<del>\$3,553.14</del>	<del>\$2,481.39</del>		
User Adjustments	<del>0.00</del>	<del>0.00</del>			<del>0.00</del>	<del>0.00</del>		
Refunds	<del>0.00</del>	<del>0.00</del>			<del>0.00</del>	<del>0.00</del>		
Semi-Annual Interest	<del>0.00</del>	<del>0.00</del>						
Transfers In	<del>0.00</del>	<del>0.00</del>			<del>0.00</del>	<del>0.00</del>		
Transfers Out	<del>(2,807.41)</del>	<del>(2,194.50)</del>			<del>0.00</del>	<del>0.00</del>		
Unknown	<del>0.00</del>	<del>0.00</del>			<del>0.00</del>	<del>0.00</del>		
Subtotal	<del>\$921,688.46</del>	<del>\$682,801.68</del>			<del>\$3,553.14</del>	<del>\$2,481.39</del>		
Current Contributions	<del>9,618.74</del>	<del>7,484.22</del>			<del>0.00</del>	<del>0.00</del>		
Ongoing Buy Backs	<del>164.75</del>	<del>124.95</del>			<del>0.00</del>	<del>0.00</del>		
Ending Balance	<del>\$931,471.95</del>	<del>\$690,410.85</del>			<del>\$3,553.14</del>	<del>\$2,481.39</del>		
<b>General Tier III</b>								
Beginning Balance	<del>\$2,032,461.76</del>	<del>\$1,264,005.52</del>			<del>\$137.35</del>	<del>\$94.06</del>		
User Adjustments	<del>0.00</del>	<del>0.00</del>			<del>0.00</del>	<del>0.00</del>		
Refunds	<del>0.00</del>	<del>0.00</del>			<del>0.00</del>	<del>0.00</del>		
Semi-Annual Interest	<del>0.00</del>	<del>0.00</del>						
Transfers In	<del>0.00</del>	<del>0.00</del>			<del>0.00</del>	<del>0.00</del>		
Transfers Out	<del>(5,420.18)</del>	<del>(3,306.78)</del>			<del>0.00</del>	<del>0.00</del>		
Unknown	<del>0.00</del>	<del>0.00</del>			<del>0.00</del>	<del>0.00</del>		
Subtotal	<del>\$2,027,041.58</del>	<del>\$1,260,698.74</del>			<del>\$137.35</del>	<del>\$94.06</del>		
Current Contributions	<del>36,444.80</del>	<del>22,656.93</del>			<del>0.00</del>	<del>0.00</del>		
Ongoing Buy Backs	<del>154.36</del>	<del>100.45</del>			<del>0.00</del>	<del>0.00</del>		
Ending Balance	<del>\$2,063,640.74</del>	<del>\$1,283,456.12</del>			<del>\$137.35</del>	<del>\$94.06</del>		

# FCERA Control Totals Summary Report – General Contributions

## County Employees – Final Report

Category: County – Clearinghouse

Participant Count: 16

Payroll Period: 10/5/2010 to 10/18/2010

	Taxable				Taxed			
	Basic	COL	Supp Basic	Supp COL	Basic	COL	Supp Basic	Supp COL
<b>General Tier I</b>								
Beginning Balance	\$881,479.88	\$289,680.98	\$142,896.50	\$58,215.91	\$31,657.23	\$14,498.57	\$0.00	\$0.00
User Adjustments	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Refunds	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Semi-Annual Interest	0.00	0.00	0.00	0.00				
Transfers In	125,229.64	70,321.91	23,034.46	10,304.63	15,153.47	5,907.53	129.55	0.00
Transfers Out	(681,174.68)	(226,693.02)	(110,571.22)	(45,219.33)	(26,035.56)	(13,699.90)	0.00	0.00
Unknown	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Subtotal	\$325,534.84	\$133,309.87	\$55,359.74	\$23,301.21	\$20,775.14	\$6,706.20	\$129.55	\$0.00
Current Contributions	672.31	424.03	312.96	136.82	0.00	0.00	0.00	0.00
Ongoing Buy Backs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ending Balance	\$326,207.15	\$133,733.90	\$55,672.70	\$23,438.03	\$20,775.14	\$6,706.20	\$129.55	\$0.00
<b>General Tier II</b>								
Beginning Balance	\$0.00	\$0.00			\$0.00	\$0.00		
User Adjustments	0.00	0.00			0.00	0.00		
Refunds	0.00	0.00			0.00	0.00		
Semi-Annual Interest	0.00	0.00						
Transfers In	0.00	0.00			0.00	0.00		
Transfers Out	0.00	0.00			0.00	0.00		
Unknown	0.00	0.00			0.00	0.00		
Subtotal	\$0.00	\$0.00			\$0.00	\$0.00		
Current Contributions	0.00	0.00			0.00	0.00		
Ongoing Buy Backs	0.00	0.00			0.00	0.00		
Ending Balance	\$0.00	\$0.00			\$0.00	\$0.00		
<b>General Tier III</b>								
Beginning Balance	\$0.00	\$0.00			\$0.00	\$0.00		
User Adjustments	0.00	0.00			0.00	0.00		
Refunds	0.00	0.00			0.00	0.00		
Semi-Annual Interest	0.00	0.00						
Transfers In	0.00	0.00			0.00	0.00		
Transfers Out	0.00	0.00			0.00	0.00		
Unknown	0.00	0.00			0.00	0.00		
Subtotal	\$0.00	\$0.00			\$0.00	\$0.00		
Current Contributions	0.00	0.00			0.00	0.00		
Ongoing Buy Backs	0.00	0.00			0.00	0.00		
Ending Balance	\$0.00	\$0.00			\$0.00	\$0.00		

# FCERA Control Totals Summary Report – General Contributions

## County Employees – Final Report

Category: County – Deferred

Participant Count: 1,078

Payroll Period: 10/5/2010 to 10/18/2010

	Taxable				Taxed			
	Basic	COL	Supp Basic	Supp COL	Basic	COL	Supp Basic	Supp COL
<b>General Tier I</b>								
Beginning Balance	\$16,951,290.60	\$6,159,557.12	\$1,190,674.45	\$437,481.43	\$733,298.80	\$423,717.37	\$6,466.39	\$345.35
User Adjustments	4,541.33	1,806.66	22.11	0.00	0.00	0.00	0.00	0.00
Refunds	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Semi-Annual Interest	0.00	0.00	0.00	0.00				
Transfers In	46,427.47	17,074.48	11,291.55	5,227.80	0.00	0.00	0.00	0.00
Transfers Out	(133,895.68)	(54,485.74)	(6,916.36)	(2,904.93)	(5,972.93)	(3,984.92)	0.00	0.00
Unknown	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Subtotal	\$16,868,363.72	\$6,123,952.52	\$1,195,071.75	\$439,804.30	\$727,325.87	\$419,732.45	\$6,466.39	\$345.35
Current Contributions	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ongoing Buy Backs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ending Balance	\$16,868,363.72	\$6,123,952.52	\$1,195,071.75	\$439,804.30	\$727,325.87	\$419,732.45	\$6,466.39	\$345.35
<b>General Tier II</b>								
Beginning Balance	\$24,352.83	\$17,538.35			\$339.99	\$227.08		
User Adjustments	0.00	0.00			0.00	0.00		
Refunds	0.00	0.00			0.00	0.00		
Semi-Annual Interest	0.00	0.00						
Transfers In	0.00	0.00			0.00	0.00		
Transfers Out	0.00	0.00			0.00	0.00		
Unknown	0.00	0.00			0.00	0.00		
Subtotal	\$24,352.83	\$17,538.35			\$339.99	\$227.08		
Current Contributions	0.00	0.00			0.00	0.00		
Ongoing Buy Backs	0.00	0.00			0.00	0.00		
Ending Balance	\$24,352.83	\$17,538.35			\$339.99	\$227.08		
<b>General Tier III</b>								
Beginning Balance	\$4,366.79	\$2,767.52			\$0.00	\$0.00		
User Adjustments	0.00	0.00			0.00	0.00		
Refunds	0.00	0.00			0.00	0.00		
Semi-Annual Interest	0.00	0.00						
Transfers In	0.00	0.00			0.00	0.00		
Transfers Out	0.00	0.00			0.00	0.00		
Unknown	0.00	0.00			0.00	0.00		
Subtotal	\$4,366.79	\$2,767.52			\$0.00	\$0.00		
Current Contributions	0.00	0.00			0.00	0.00		
Ongoing Buy Backs	0.00	0.00			0.00	0.00		
Ending Balance	\$4,366.79	\$2,767.52			\$0.00	\$0.00		

# FCERA Control Totals Summary Report – General Contributions

## County Employees – Final Report

Category: County – Inactive

Participant Count: 1,198

Payroll Period: 10/5/2010 to 10/18/2010

	Taxable				Taxed			
	Basic	COL	Supp Basic	Supp COL	Basic	COL	Supp Basic	Supp COL
<b>General Tier I</b>								
Beginning Balance	\$1,665,367.19	\$549,529.34	\$437,068.52	\$148,967.13	\$3,853.91	\$2,559.00	\$14.33	\$8.52
User Adjustments	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Refunds	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Semi-Annual Interest	0.00	0.00	0.00	0.00				
Transfers In	6,576.63	3,870.24	2,545.91	1,117.80	0.00	0.00	0.00	0.00
Transfers Out	(10,192.93)	(5,643.03)	(4,555.32)	(1,886.99)	0.00	0.00	0.00	0.00
Unknown	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Subtotal	\$1,661,750.89	\$547,756.55	\$435,059.11	\$148,197.94	\$3,853.91	\$2,559.00	\$14.33	\$8.52
Current Contributions	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ongoing Buy Backs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ending Balance	\$1,661,750.89	\$547,756.55	\$435,059.11	\$148,197.94	\$3,853.91	\$2,559.00	\$14.33	\$8.52
<b>General Tier II</b>								
Beginning Balance	\$71,359.62	\$51,704.95			\$24.40	\$16.37		
User Adjustments	0.00	0.00			0.00	0.00		
Refunds	0.00	0.00			0.00	0.00		
Semi-Annual Interest	0.00	0.00						
Transfers In	2,807.41	2,194.50			0.00	0.00		
Transfers Out	(7,714.31)	(5,962.62)			0.00	0.00		
Unknown	0.00	0.00			0.00	0.00		
Subtotal	\$66,452.72	\$47,936.83			\$24.40	\$16.37		
Current Contributions	0.00	0.00			0.00	0.00		
Ongoing Buy Backs	0.00	0.00			0.00	0.00		
Ending Balance	\$66,452.72	\$47,936.83			\$24.40	\$16.37		
<b>General Tier III</b>								
Beginning Balance	\$105,794.86	\$65,981.04			\$0.00	\$0.00		
User Adjustments	0.00	0.00			0.00	0.00		
Refunds	0.00	0.00			0.00	0.00		
Semi-Annual Interest	0.00	0.00						
Transfers In	3,431.03	2,093.96			0.00	0.00		
Transfers Out	(292.36)	(182.22)			0.00	0.00		
Unknown	0.00	0.00			0.00	0.00		
Subtotal	\$108,933.53	\$67,892.78			\$0.00	\$0.00		
Current Contributions	0.00	0.00			0.00	0.00		
Ongoing Buy Backs	0.00	0.00			0.00	0.00		
Ending Balance	\$108,933.53	\$67,892.78			\$0.00	\$0.00		



# FCERA Control Totals Summary Report – General Contributions

## County Employees – Final Report

Category: County – Not Participating

Participant Count: 21

Payroll Period: 10/5/2010 to 10/18/2010

	Taxable				Taxed			
	Basic	COL	Supp Basic	Supp COL	Basic	COL	Supp Basic	Supp COL
<b>General Tier I</b>								
Beginning Balance	\$37,312.75	\$10,923.55	\$5,936.36	\$2,392.21	\$0.00	\$0.00	\$0.00	\$0.00
User Adjustments	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Refunds	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Semi-Annual Interest	0.00	0.00	0.00	0.00				
Transfers In	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Transfers Out	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Unknown	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Subtotal	\$37,312.75	\$10,923.55	\$5,936.36	\$2,392.21	\$0.00	\$0.00	\$0.00	\$0.00
Current Contributions	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ongoing Buy Backs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ending Balance	\$37,312.75	\$10,923.55	\$5,936.36	\$2,392.21	\$0.00	\$0.00	\$0.00	\$0.00
<b>General Tier II</b>								
Beginning Balance	\$341.86	\$268.48			\$0.00	\$0.00		
User Adjustments	0.00	0.00			0.00	0.00		
Refunds	0.00	0.00			0.00	0.00		
Semi-Annual Interest	0.00	0.00						
Transfers In	0.00	0.00			0.00	0.00		
Transfers Out	0.00	0.00			0.00	0.00		
Unknown	0.00	0.00			0.00	0.00		
Subtotal	\$341.86	\$268.48			\$0.00	\$0.00		
Current Contributions	0.00	0.00			0.00	0.00		
Ongoing Buy Backs	0.00	0.00			0.00	0.00		
Ending Balance	\$341.86	\$268.48			\$0.00	\$0.00		
<b>General Tier III</b>								
Beginning Balance	\$704.51	\$451.18			\$0.00	\$0.00		
User Adjustments	0.00	0.00			0.00	0.00		
Refunds	0.00	0.00			0.00	0.00		
Semi-Annual Interest	0.00	0.00						
Transfers In	0.00	0.00			0.00	0.00		
Transfers Out	0.00	0.00			0.00	0.00		
Unknown	0.00	0.00			0.00	0.00		
Subtotal	\$704.51	\$451.18			\$0.00	\$0.00		
Current Contributions	0.00	0.00			0.00	0.00		
Ongoing Buy Backs	0.00	0.00			0.00	0.00		
Ending Balance	\$704.51	\$451.18			\$0.00	\$0.00		

# FCERA Control Totals Summary Report – General Contributions

## County Employees – Final Report

Category: County – Refund

Participant Count: 790

Payroll Period: 10/5/2010 to 10/18/2010

	Taxable				Taxed			
	Basic	COL	Supp Basic	Supp COL	Basic	COL	Supp Basic	Supp COL
<b>General Tier I</b>								
Beginning Balance	\$2,228,892.54	\$690,284.25	\$21,088.14	\$4,358.77	\$91,257.04	\$59,158.37	\$0.00	\$0.00
User Adjustments	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Refunds	(13,735.85)	(7,932.55)	(6,249.04)	(2,948.16)	0.00	0.00	0.00	0.00
Semi-Annual Interest	0.00	0.00	0.00	0.00				
Transfers In	28,943.45	14,557.83	11,586.23	4,991.92	0.00	0.00	0.00	0.00
Transfers Out	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Unknown	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Subtotal	\$2,244,100.14	\$696,909.53	\$26,425.33	\$6,402.53	\$91,257.04	\$59,158.37	\$0.00	\$0.00
Current Contributions	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ongoing Buy Backs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ending Balance	\$2,244,100.14	\$696,909.53	\$26,425.33	\$6,402.53	\$91,257.04	\$59,158.37	\$0.00	\$0.00
<b>General Tier II</b>								
Beginning Balance	\$10,415.64	\$7,767.45			\$0.00	\$0.00		
User Adjustments	0.00	0.00			0.00	0.00		
Refunds	(6,361.70)	(4,739.44)			0.00	0.00		
Semi-Annual Interest	0.00	0.00						
Transfers In	7,714.31	5,962.62			0.00	0.00		
Transfers Out	0.00	0.00			0.00	0.00		
Unknown	0.00	0.00			0.00	0.00		
Subtotal	\$11,768.25	\$8,990.63			\$0.00	\$0.00		
Current Contributions	0.00	0.00			0.00	0.00		
Ongoing Buy Backs	0.00	0.00			0.00	0.00		
Ending Balance	\$11,768.25	\$8,990.63			\$0.00	\$0.00		
<b>General Tier III</b>								
Beginning Balance	\$11,938.85	\$7,378.44			\$0.00	\$0.00		
User Adjustments	58.51	36.51			0.00	0.00		
Refunds	(8,667.46)	(5,351.79)			0.00	0.00		
Semi-Annual Interest	0.00	0.00						
Transfers In	2,281.51	1,395.04			0.00	0.00		
Transfers Out	0.00	0.00			0.00	0.00		
Unknown	0.00	0.00			0.00	0.00		
Subtotal	\$5,611.41	\$3,458.20			\$0.00	\$0.00		
Current Contributions	37.91	23.53			0.00	0.00		
Ongoing Buy Backs	0.00	0.00			0.00	0.00		
Ending Balance	\$5,649.32	\$3,481.73			\$0.00	\$0.00		

# FCERA Control Totals Summary Report – General Contributions

## County Employees – Final Report

Category: County – Suspense

Participant Count: 304

Payroll Period: 10/5/2010 to 10/18/2010

	Taxable				Taxed			
	Basic	COL	Supp Basic	Supp COL	Basic	COL	Supp Basic	Supp COL
<b>General Tier I</b>								
Beginning Balance	\$3,970,396.16	\$1,104,374.05	\$657,865.96	\$256,640.57	\$65,198.92	\$14,332.09	\$4,378.49	\$376.94
User Adjustments	(74.38)	(62.54)	0.00	0.00	0.00	0.00	0.00	0.00
Refunds	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Semi-Annual Interest	0.00	0.00	0.00	0.00				
Transfers In	34,597.71	18,522.71	13,635.19	6,627.80	0.00	0.00	0.00	0.00
Transfers Out	(48,460.44)	(17,320.53)	(11,791.50)	(5,260.92)	0.00	0.00	0.00	0.00
Unknown	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Subtotal	\$3,956,459.05	\$1,105,513.69	\$659,709.65	\$258,007.45	\$65,198.92	\$14,332.09	\$4,378.49	\$376.94
Current Contributions	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ongoing Buy Backs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ending Balance	\$3,956,459.05	\$1,105,513.69	\$659,709.65	\$258,007.45	\$65,198.92	\$14,332.09	\$4,378.49	\$376.94
<b>General Tier II</b>								
Beginning Balance	\$13,553.09	\$10,083.63			\$65.15	\$42.99		
User Adjustments	0.00	0.00			0.00	0.00		
Refunds	0.00	0.00			0.00	0.00		
Semi-Annual Interest	0.00	0.00						
Transfers In	0.00	0.00			0.00	0.00		
Transfers Out	0.00	0.00			0.00	0.00		
Unknown	0.00	0.00			0.00	0.00		
Subtotal	\$13,553.09	\$10,083.63			\$65.15	\$42.99		
Current Contributions	0.00	0.00			0.00	0.00		
Ongoing Buy Backs	0.00	0.00			0.00	0.00		
Ending Balance	\$13,553.09	\$10,083.63			\$65.15	\$42.99		
<b>General Tier III</b>								
Beginning Balance	\$1,147.31	\$692.75			\$0.00	\$0.00		
User Adjustments	0.00	0.00			0.00	0.00		
Refunds	0.00	0.00			0.00	0.00		
Semi-Annual Interest	0.00	0.00						
Transfers In	0.00	0.00			0.00	0.00		
Transfers Out	0.00	0.00			0.00	0.00		
Unknown	0.00	0.00			0.00	0.00		
Subtotal	\$1,147.31	\$692.75			\$0.00	\$0.00		
Current Contributions	0.00	0.00			0.00	0.00		
Ongoing Buy Backs	0.00	0.00			0.00	0.00		
Ending Balance	\$1,147.31	\$692.75			\$0.00	\$0.00		

# FCERA Control Totals Summary Report – General Contributions

## County Employees – Final Report

Total Participants Processed: 10,255

	Taxable				Taxed			
	Basic	COL	Supp Basic	Supp COL	Basic	COL	Supp Basic	Supp COL
<b>General Tier I</b>								
Grand Total	\$136,529,385.33	\$53,227,364.22	\$30,252,305.40	\$13,128,918.11	\$2,294,800.82	\$1,247,839.68	\$26,864.90	\$4,058.27
Unknown	55,376.88	19,546.34	7,961.51	3,338.31	423.00	301.52	0.00	0.00
<b>General Tier II</b>								
Grand Total	\$1,047,940.70	\$775,228.77			\$3,982.68	\$2,767.83		
Unknown	0.00	0.00			0.00	0.00		
<b>General Tier III</b>								
Grand Total	\$2,184,442.20	\$1,358,742.08			\$137.35	\$94.06		
Unknown	0.00	0.00			0.00	0.00		

We are glad to be able to offer you **Direct Deposit** to your checking or savings account. If you would like to have your pension check directly deposited, please have your Bank complete **Section I** on the form below. You must complete **Section II** and then return it to **FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION (FCERA)** office at the address below.

Please continue to advise FCERA of any address changes also at the address listed below.

RETURN COMPLETED FORM TO:

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION**  
**1111 H STREET**  
**FRESNO, CALIFORNIA 93721**  
**Phone (559) 457-0681**

Return to: \_\_\_\_\_

**I. AUTHORIZATION AGREEMENT FOR AUTOMATIC DEPOSITS (ACH CREDITS)**

I HEREBY AUTHORIZE **STATE STREET BANK**, HEREINAFTER CALLED COMPANY, TO INITIATE CREDIT ENTRIES AND TO INITIATE, IF NECESSARY, DEBIT ENTRIES AND ADJUSTMENTS FOR ANY CREDIT ENTRIES MADE IN ERROR TO THE CHECKING/ SAVINGS ACCOUNT INDICATED BELOW AT THE FINANCIAL INSTITUTION NAMED BELOW, HEREINAFTER CALLED DEPOSITORY, TO CREDIT AND/OR DEBIT THE SAME TO SUCH ACCOUNT.

BANK NAME \_\_\_\_\_  
BANK \_\_\_\_\_  
ADDRESS \_\_\_\_\_

CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP \_\_\_\_\_

BANK PHONE # \_\_\_\_\_ CHECKING \_\_\_\_\_ SAVINGS \_\_\_\_\_

ABA ROUTING # \_\_\_\_\_ ACCOUNT # \_\_\_\_\_

The Depository Bank agrees to refund to the Trustee any payment or payments received and credited to the account in error or subsequent to the date of his/her death, to the extent funds are available in the account.

By: \_\_\_\_\_  
(Depository Bank Representative's Signature)

Print Name and Title:

\_\_\_\_\_ Date: \_\_\_\_\_

**This form will not be accepted if modified in any way.**

- II.** This Authority is to remain in full force and effect until Company has received written notification from me of its termination in such time and in such manner as to afford Company and Depository reasonable opportunity to act on it.

**NOTE: This section must be completed and signed to begin processing.**

NAME \_\_\_\_\_, FRESNO COUNTY RETIREE

ADDRESS \_\_\_\_\_

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

SOCIAL SECURITY # \_\_\_\_\_ PHONE NUMBER \_\_\_\_\_

Updated: \_\_\_\_\_

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION ("FCERA")  
DISPOSITION OF RETIREMENT CONTRIBUTIONS**

**IMPORTANT NOTICE:** By requesting a withdrawal of your retirement contributions, you should be aware that you will forfeit all rights to future benefits from FCERA, including disability benefits. If you are disabled from your duties, you should contact this office prior to completing this form. If you return to employment which entitles you to membership with FCERA, you may redeposit your withdrawn contributions subject to certain requirements.

**\*Please complete Section I, II and III. Make sure the following information is complete and legible (print or type)\***

## Section I: Member Information

Member Name	Employee No	SSN
John Doe	12345	123-456789
Jane Smith	67890	987-654321
Bob Johnson	54321	234-567890
Alice Brown	98765	345-678901
Charlie Davis	43210	456-789012
Eve White	87654	567-890123
Frank Green	32109	678-901234
Grace Black	76543	789-012345
Henry Blue	21098	890-123456
Ivy Gold	65432	901-234567
Jack Silver	10987	012-345678
Karen Copper	54320	123-456789
Leo Iron	98760	234-567890
Mia Zinc	43215	345-678901
Noah Lead	87650	456-789012
Olivia Tin	32105	567-890123
Peter Nickel	76540	678-901234
Quinn Cobalt	21095	789-012345
Rachel Manganese	65435	890-123456
Sam Cadmium	10980	901-234567
Tina Barium	54315	012-345678
Umar Strontium	98755	123-456789
Victor Calcium	43200	234-567890
Wendy Magnesium	87645	345-678901
Xavier Potassium	32090	456-789012
Yara Sodium	76435	567-890123
Zoe Chlorine	20880	678-901234

**Member's Mailing Address** \_\_\_\_\_

*Street                      City                      State                      Zip Code*

Date Employment Terminated \_\_\_\_\_ Dept./Dist. Name \_\_\_\_\_

Member's Telephone Number ( ) \_\_\_\_\_

## Section II: Election Regarding Member Contributions

I have read and understand the explanation of my rights upon separation and the options available to me as set forth in "Important Instructions Regarding Refund of Retirement Contributions." I hereby elect the disposition of my member contributions to FCERA in the manner designated by the box that I have initialed below. I understand that if I do not make an election with respect to my member contributions, they will remain in the retirement fund. I have been advised to consult with a professional advisor and have had full opportunity to obtain my own advice.

PLEASE CHOOSE ONE OF THE FOLLOWING BY INITIALING THE APPROPRIATE BOX

**LEAVE FUNDS ON DEPOSIT:**

- [ ] **A. Deferred Retirement:** Having credit for five years of service, I elect to leave my contributions on deposit in FCERA and take a deferred retirement to become effective at a later date. (Please note that if you elect this option and do not have five years of service, your retirement funds will remain on deposit pursuant to option C below. You may complete a new form to withdraw your contributions or elect reciprocal retirement within six months after termination of employment.)
- [ ] **B. Reciprocal Retirement:** I elect to leave my contributions on deposit with FCERA and choose a reciprocal election. I understand that my contributions may not be withdrawn while I am a member of a 1937 Act County Retirement System or a member of a retirement system that recognizes service with FCERA for reciprocity. I will become a member of the \_\_\_\_\_ Retirement System within six months of my termination from employment with Fresno County or a participating Special District. **If Reciprocity is established, you must retire from all systems on the same day.**
- [ ] **C. Retirement Funds to Remain on Deposit:** I elect to leave my contributions on deposit in the retirement fund. I am aware that if I have less than 5 years of service with FCERA (I am not vested) that I am not eligible to receive a retirement benefit unless I establish membership in a reciprocal system within the statutory time limit or return to service with Fresno County or a participating Special District and meet all other requirements for retirement eligibility. My contributions will accrue interest and remain in the retirement fund until I elect to withdraw them, they must be distributed in accordance with governing law, or they are paid on my death.

## WITHDRAWAL:

I elect to cancel my membership rights in FCERA and receive a refund of my contributions on deposit with FCERA. I understand that by doing so, I am forfeiting any right I might have to receive benefits from FCERA including disability retirement benefits unless I return to work with Fresno County or a participating Special District and redeposit my withdrawn contributions. I have read the "Special Tax Notice Regarding Refunds of Retirement Contributions" (the "Notice") that explains the Internal Revenue Service (IRS) tax consequences that affect distributions from FCERA. I understand that FCERA cannot provide tax advice or counsel and that this form, the Notice or any representations made by FCERA do not constitute tax advice and that I have been advised to consult with an investment or tax professional prior to making any decision regarding the disposition of any amounts I am to receive from FCERA. I fully understand my options regarding this distribution. If I made contributions prior to July 1, 1985, those contributions (but not the accrued earnings) were made on an after tax basis and are not subject to tax upon distribution. I understand that I may elect a different form of distribution for such after-tax retirement contributions in the "Rollover" boxes, below, by designating which portion of any rollover should be made the after-tax retirement contributions. The total amount distributed under all of the options must not exceed 100%. I elect the following method for distribution of my retirement contributions:

- ☐ **D. Direct Distribution:** I elect to have my lump sum distribution mailed to my home. I understand that the taxable portion is subject to a mandatory 20% withholding of taxes by the IRS and additional California withholding unless I elect no California withholding. I also understand that unless I roll the taxable portion into an IRA or another qualified plan within 60 days after distribution, it may be subject to early withdrawal penalties.
- ☐ **E. Direct Rollover:** I elect to have the taxable portion of my lump sum distribution or refund rolled over into my Individual Retirement Arrangement (IRA) or qualified employer plan. In order for us to process your rollover request, you must provide the information for your IRA or qualified employer plan below.
- ☐ **F. Part Direct Distribution/Part Direct Rollover:** I elect to have \_\_\_\_% of my lump sum distribution mailed to my home and the remaining \_\_\_\_% of my lump sum distribution (the two percentages must total 100% and the entire amount to be rolled over must be taxable) of my lump sum distribution rolled over into my Individual Retirement Arrangement (IRA) or qualified employer plan. I understand that the tax consequences described in D and E above apply to my election. In order for us to process your rollover request, you must provide the information for your IRA or qualified employer plan below.

**ROLLOVER INTO MY IRA**

Name of Institution Account Number Routing Number

Mailing Address City State Zip

Entity to whom check should be made payable (e.g., Bank XX as trustee for YY Retirement Plan for the benefit of John Doe)

Type of IRA (check one): ☐ Traditional IRA ☐ Roth IRA

Amount: \_\_\_\_\_% Contribution Source (check only one): ☐ Pre-Tax Contributions and Earnings ☐ After-Tax Contributions ☐ Both

**ROLLOVER INTO MY IRA**

Name of Institution Account Number Routing Number

Mailing Address City State Zip

Entity to whom check should be made payable (e.g., Bank XX as trustee for YY Retirement Plan for the benefit of John Doe)

Type of IRA (check one): ☐ Traditional IRA ☐ Roth IRA

Amount: \_\_\_\_\_% Contribution Source (check only one): ☐ Pre-Tax Contributions and Earnings ☐ After-Tax Contributions ☐ Both

**ROLLOVER TO A QUALIFIED EMPLOYER PLAN**

Legal Name of New Employer's Qualified Plan Employer's EIN Number Plan Number

Mailing Address City State Zip

Entity to whom check should be made payable (e.g., Bank XX as trustee for YY Retirement Plan for the benefit of John Doe)

**SECTION III: Signature.**

Member Signature

Date:

Print Name



# FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION ("FCERA")

## IMPORTANT INSTRUCTIONS REGARDING REFUNDS OF RETIREMENT CONTRIBUTIONS

When you terminate your employment from Fresno County or a Special District that participates in FCERA, you must decide what you wish to do with your accumulated contributions in the Fresno County Employees' Retirement Association (FCERA). You may either receive a distribution of your contributions to FCERA or leave them on deposit with FCERA.<sup>1</sup> You should carefully consider all of your options. You should consider obtaining advice from a qualified financial planner or tax professional before making a decision. Only then should you select your option.

**IMPORTANT NOTICE: By requesting a withdrawal of your retirement contributions, you will forfeit all rights to future benefits from FCERA.** These benefits are listed in Section II entitled "Leaving Contributions on Deposit." However, if you return to employment and that employment entitles you to membership with FCERA, you may redeposit your withdrawn contributions, subject to certain requirements, and may regain your rights in FCERA.

### I. WITHDRAWAL OF YOUR CONTRIBUTIONS

If you terminate employment with the County of Fresno or a participating Special District, you can withdraw your accumulated retirement contributions and interest. However, as noted above, once you withdraw your contributions, your membership in FCERA is terminated and **you will forfeit your rights to all other benefits from FCERA**, including disability retirement benefits. If you return to employment and that employment entitles you to membership with FCERA, you may redeposit your withdrawn contributions plus interest prior to filing an application for retirement and may regain your rights in FCERA.

If you withdraw your accumulated contributions and interest, you have three options described below. Please see the notice entitled "Special Tax Notice Regarding Refunds of Retirement Contributions" for more detailed information on these options. This notice is available from the Retirement office if you have not already received it.

#### A. DIRECT PAYMENT TO YOU

You may choose to have FCERA disburse your contributions directly to you. However, FCERA must withhold federal income taxes in the amount of 20% and will also withhold state income tax unless you elect no state income tax withholding. In addition, you may be subject to a 10% early withdrawal federal

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<sup>1</sup> Please note that you may be entitled to an immediate service retirement or disability retirement. This notice does not discuss these options. Please contact the Retirement Office for more information on service retirement and disability retirement.

tax penalty and a 2 1/2% early withdrawal state tax penalty for California residents (other states may impose a similar penalty) when you file your federal and state income tax returns. You should ask your tax advisor about this penalty. After you receive your withdrawal, you will have 60 days to rollover the funds to a traditional IRA or other qualified tax-deferred account to avoid the early withdrawal penalty and to avoid current income tax. However, because of tax withholding, the amount that you receive will not equal the full amount that must be rolled over to avoid these taxes. Therefore if you want to avoid all of these taxes by using a rollover you must find the additional funds from another source.

## **B. DIRECT ROLLOVER**

Upon your request, FCERA will pay the eligible funds directly to a traditional IRA that you choose or to the eligible retirement plan of your new employer, or effective January 1, 2008, if you are eligible, to a Roth IRA. By electing this option you will not have any taxes withheld and will not be subject to an early tax withdrawal penalty.

If you made member retirement contributions prior to July 1, 1985, those member contributions (but not earnings) were made on an after-tax basis. This means that the distribution of pre-July 1, 1985 member contributions (but not earnings) are not taxable upon distribution. You may elect different rollover options for your pre- and post-tax member contributions.

## **C. PART DIRECT PAYMENT AND PART DIRECT ROLLOVER**

You may have part of your contributions distributed directly to you under subsection A above and part contributed to an IRA or other retirement plan in a direct rollover under subsection B above. Any part that is paid directly to you will be subject to the income tax consequences described in paragraph A above.

## **II. LEAVING CONTRIBUTIONS ON DEPOSIT**

If you terminate employment with the County of Fresno or a participating Special District, you may elect to leave your accumulated retirement contributions and interest on deposit with FCERA, regardless of your years of service. However, you cannot receive an FCERA pension in the future unless you meet minimum eligibility requirements. If you leave your contributions on deposit, and you are or become eligible for benefits from FCERA, you may be eligible to receive the benefit of any future plan improvements.

Your funds will continue to earn interest while on deposit. Interest will be credited to your account at the same rate as it is credited to all other member accounts on deposit with FCERA.

If you elect to leave your retirement contributions on deposit with FCERA, the following options may be available to you:

## **A. DEFERRED RETIREMENT**

You may choose deferred retirement status if you terminate employment with a minimum of five (5) years of retirement service credit.<sup>2</sup> You must leave your accumulated contributions and interest on deposit with FCERA and make an election to take a deferred retirement. You may elect at any time before your effective date of retirement to rescind this election (unless you are employed by Fresno County, a participating Special District or a reciprocal agency) and withdraw all contributions and interest. If you die before receiving a retirement allowance, your accumulated contributions and interest will be paid to your designated beneficiary or estate.

Your funds will continue to earn interest while on deposit. Interest will be credited to your account at the same rate as it is credited to all other member accounts on deposit with the FCERA.

Deferred members may receive a retirement allowance upon the election of the member at any time at which they could have retired had they remained employed by Fresno County or a participating Special District. The actual retirement allowance does not automatically begin when the deferred member reaches the minimum age and years of service criteria for receiving a retirement allowance. A member on deferred retirement status must apply to the FCERA office sixty days prior to the desired retirement date in order to begin receiving timely payment of benefits.

## **B. RECIPROCAL RETIREMENT BENEFITS**

Reciprocal retirement benefits are available to all members of FCERA, regardless of years of service, who terminate employment from Fresno County or a participating Special District and establish membership with a California reciprocal retirement system, subject to certain conditions. These benefits are contingent upon the following:

1. You must establish membership in the participating retirement system of an eligible public agency within six months after leaving Fresno County or a participating Special District service, and
2. You must leave your contributions and interest on deposit with FCERA and inform FCERA in writing of the name of the county or other public agency in which you will be or are employed within six months after leaving Fresno County or participating Special District service.

The advantages of electing deferred retirement with reciprocity include the following:

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<sup>2</sup> See Section B regarding service credit under reciprocity.

1. In the new system, your age for contribution purposes will be the same as when you entered FCERA.
2. Service credited under FCERA will count toward establishing your eligibility for benefits in both systems.
3. Upon death or retirement for service or disability (provided you retire simultaneously under all reciprocal systems), the final compensation used to determine your benefits from all systems will be the highest that you earned under any one system.
4. The contributions, which you have elected to leave on deposit in FCERA, may not be withdrawn while you remain employed by any agency which is covered by the 1937 Retirement Law, the State of California Public Employees' Retirement System (PERS), the State Teachers' Retirement System (STRS), Judges Retirement System or any agency having a reciprocal agreement with PERS.

1937 Retirement Law County Systems to which reciprocity provisions apply:

Alameda	Los Angeles	Orange	San Joaquin	Stanislaus
Contra Costa	Marin	Sacramento	San Mateo	Tulare
Imperial	Mendocino	San Bernardino	Santa Barbara	Ventura
Kern	Merced	San Diego	Sonoma	

Please contact the Retirement office if you would like information regarding reciprocal agreements with any other public agency.

### **C. RETIREMENT FUNDS REMAIN ON DEPOSIT**

You may elect to leave your retirement contributions on deposit with FCERA even if you do not have 5 years of service. You will not be eligible for a service retirement benefit unless you return to service with FCERA or a participating Special District and earn enough service so that the combined total equals or exceeds 5 years or earn sufficient additional service under a reciprocal system. Your election to leave accumulated contributions on deposit with FCERA may be revoked at any time except:

1. While you are employed with Fresno County or a participating Special District;
2. While you are in service (entered within six months after discontinuing service with Fresno County or a participating Special District) as a member of a reciprocal retirement system. A list of reciprocal systems is set out above; or

3. While you are in service as a member of a public retirement system supported, in whole or in part, by state funds.

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After you have selected your option, please complete the Disposition of Retirement Contributions form and return it to:

**Fresno County Employees' Retirement Association  
1111 H Street  
Fresno, CA 93721**

## **SPECIAL TAX NOTICE REGARDING REFUNDS OF RETIREMENT CONTRIBUTIONS**

This notice contains important information that you will need before you determine whether to take a distribution of the retirement contributions (plus interest) that you made to the Fresno County Employees' Retirement Association ("FCERA"). As required by the Internal Revenue Service (the "IRS"), this notice explains how you can continue to defer federal income tax on your retirement contributions to FCERA and this notice contains important information you will need before you decide whether and how to receive your contributions to FCERA.

This notice is provided to you by FCERA because you may receive a distribution of your contributions to FCERA and all or part of the payment that you will soon receive from FCERA may be eligible for rollover by you or your Plan Administrator to a traditional IRA or an eligible employer plan. Also, beginning in 2008, a rollover can be made directly from FCERA to a Roth IRA in certain circumstances.<sup>1</sup> A rollover is a payment by you or the Plan Administrator of all or part of your contributions to another plan or IRA that allows you to continue to postpone taxation of the contributions until they are paid to you. Your payment cannot be rolled over to a SIMPLE IRA or a Coverdell Education Savings Account (formerly known as an education IRA). An "eligible employer plan" includes a plan qualified under section 401(a) of the Internal Revenue Code, including a 401(k) plan, profit-sharing plan, defined benefit plan (such as FCERA), stock bonus plan, and money purchase plan; a section 403(a) annuity plan; a section 403(b) tax-sheltered annuity; and an eligible section 457(b) plan maintained by a governmental employer (governmental 457 plan).

An eligible employer plan is not legally required to accept a rollover. Before you decide to roll over your contributions to another employer plan, you should find out whether the plan accepts rollovers and, if so, the types of distributions it accepts as a rollover. You should also find out about any documents that are required to be completed before the receiving plan will accept a rollover. Even if a plan accepts rollovers, it might not accept rollovers of certain types of distributions, such as after-tax amounts. If this is the case, and your distribution includes after-tax amounts, you may wish instead to roll your distribution over to an IRA or split your rollover amount between the employer plan in which you will participate and an IRA. If an employer plan accepts your rollover, the plan may restrict subsequent distributions of the rollover amount or may require your spouse's consent for any subsequent distribution. A subsequent distribution from the plan that accepts your rollover may also be subject to different tax treatment than distributions from FCERA. Check with the administrator of the plan that is to receive your rollover prior to making the rollover.

If you have additional questions after reading this notice, you can contact the Retirement office at (559) 457-0681.

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<sup>1</sup> For distributions made in 2008 and 2009, you will be able to make a direct rollover from FCERA to a Roth IRA if your federal adjusted gross income for the year of the rollover is \$100,000 or less and if you are not a married individual filing a separate federal income tax return. However, as this is a general notice, in all circumstances you should contact your qualified financial planner or tax professional for more detailed information about rolling over your distribution to a Roth IRA, as applicable, a traditional IRA and/or an eligible employer plan.

## SUMMARY

There are two ways you may be able to receive a payment of your contributions to FCERA that is eligible for rollover:

- (1) Certain payments can be made directly<sup>2</sup> to a traditional IRA that you establish, to an eligible employer plan that will accept and hold the payment for your benefit and beginning in 2008, payments may also be made to a Roth IRA in certain circumstances ("DIRECT ROLLOVER"); or
- (2) The payment can be PAID TO YOU.

### If you choose a DIRECT ROLLOVER:

- Your payment will not be taxed in the current year and no income tax will be withheld, except for amounts directly rolled over to a Roth IRA, which will be taxed in the year of the rollover.<sup>3</sup> A special rule applies for amounts directly rolled over to a Roth IRA in 2010.
- You choose whether your payment will be made directly to your traditional IRA, to an eligible employer plan that accepts your rollover, or to a Roth IRA, if you are eligible. Your payment cannot be rolled over to a SIMPLE IRA or a Coverdell Education Savings Account.
- The taxable portion of your payment will be taxed later when you take it out of the traditional IRA or the eligible employer plan. Amounts directly rolled over to a Roth IRA will be taxed in the year of the rollover. Depending on the type of plan, the later distribution may be subject to different tax treatment than it would be if you received a taxable distribution from FCERA.

### If you choose to have a payment from FCERA that is eligible for rollover PAID TO YOU:

- You will receive only 80% of the taxable amount of the payment, because the Plan Administrator is required to withhold 20% of that amount and send it to the IRS as income tax withholding to be credited against your taxes.<sup>4</sup>
- The taxable amount of your payment will be taxed in the current year unless you roll it over. Under limited circumstances, you may be able to use special tax rules that could reduce the tax you owe. However, if you receive the payment before age 59 1/2, you may have to pay an additional 10% tax.
- You can roll over all or part of the payment by paying it to your traditional IRA

<sup>2</sup> Please note that the payment may be in the form of a check made payable to the IRA or employer plan for your benefit. This check may be given to you to be delivered to the administrator of the IRA or employer plan. Payment in this form is still considered payment directly to the IRA or employer plan and qualifies as a DIRECT ROLLOVER.

<sup>3</sup> The law now permits a rollover from an eligible employer plan into a Roth IRA under certain circumstances.

<sup>4</sup> State taxes may also be withheld on this amount. Please contact the Retirement office for more information.

or to an eligible employer plan that accepts your rollover within 60 days after you receive the payment. You cannot have your contributions to FCERA paid to you and then later make a rollover to a Roth IRA. The amount rolled over will not be taxed until you take it out of the traditional IRA or the eligible employer plan.

- If within 60 days from the receipt of the payment, you want to roll over 100% of the payment to a traditional IRA or an eligible employer plan, you must find other money to replace the 20% of the taxable portion that was withheld. If you roll over only the 80% that you received, you will be taxed on the 20% that was withheld and that is not rolled over.

*Your Right to Waive the 30-Day Notice Period.* Generally, neither a DIRECT ROLLOVER nor a payment can be made from FCERA until at least 30 days after your receipt of this notice. Thus, after receiving this notice, you have at least 30 days to consider whether to receive a distribution of your contributions and whether to have your distribution directly rolled over. If you do not wish to wait until this 30-day notice period ends before your election is processed, you may waive the notice period by making an affirmative election indicating whether or not you wish to make a DIRECT ROLLOVER. Your withdrawal will then be processed in accordance with your election as soon as practical after it is received by the Retirement office.

## **MORE INFORMATION**

### **I. PAYMENTS THAT CAN AND CANNOT BE ROLLED OVER**

A refund of your retirement contributions from FCERA may be an "eligible rollover distribution." This means that the refund can be rolled over to a traditional IRA, to an eligible employer plan that accepts rollovers and in certain circumstances after January 1, 2008, to a Roth IRA. Payments from FCERA cannot be rolled over to a SIMPLE IRA or a Coverdell Education Savings Account. The Retirement office should be able to tell you what portion of your payment is an eligible rollover distribution.

*After-tax Contributions.* If you made after-tax contributions to FCERA, these contributions may be rolled into a traditional IRA, to certain employer plans that accept rollovers of after-tax contributions and in certain circumstances after January 1, 2008, to a Roth IRA. After-tax contributions are generally contributions you made from your own pay that were already taxed. All contributions made to FCERA before July 1, 1985 were after-tax contributions (but interest accrued on these amounts is not after-tax because you have not paid tax on it yet). The following rules apply:

- a) Rollover into a Traditional IRA or to a Roth IRA.

You can roll over your after-tax contributions to a traditional IRA either directly or indirectly. The Retirement office may be able to tell you how much of your payment is taxable and how much of the payment is the after-tax portion, however the ultimate responsibility for this determination lies with you. Please consult your tax advisor for assistance.



Beginning January 1, 2008, you may directly rollover the after-tax contributions to a Roth IRA.

If you roll over after-tax contributions to a traditional IRA, it is your responsibility to keep track of, and report to the IRS on the applicable forms, the amount of these after-tax contributions. This will enable the nontaxable amount of any future distributions from the traditional IRA to be determined.

Once you roll over your after-tax contributions to a traditional IRA or Roth IRA, those amounts CANNOT later be rolled over to an employer plan.

- b) Rollover into an Employer Plan. You can roll over after-tax contributions from FCERA to another such plan using a DIRECT ROLLOVER if the other plan provides separate accounting for amounts rolled over, including separate accounting for the after-tax member contributions and earnings on those contributions. You CANNOT roll over after-tax contributions to a governmental 457 plan. If you want to roll over your after-tax contributions to an employer plan that accepts these rollovers, you cannot have the after-tax contributions paid to you first. You must instruct the Plan Administrator of FCERA to make a direct rollover on your behalf. Also, you cannot first roll over after-tax contributions to a traditional IRA and then roll over that amount into an employer plan.

The following types of payments cannot be rolled over:

*Payments Spread over Long Periods.* You cannot roll over a payment if it is part of a series of equal (or almost equal) payments that are made at least once a year and that will last for:

- your lifetime (or a period measured by your life expectancy), or
- your lifetime and your beneficiary's lifetime (or a period measured by your joint life expectancies), or
- a period of 10 years or more.

*Required Minimum Payments.* Beginning when you reach age 70 1/2 or retire, whichever is later, a certain portion of your payment cannot be rolled over because it is a "required minimum payment" that must be paid to you.

*Corrective Distributions.* A distribution that is made to correct a failed test, to correct a plan inconsistency or because legal limits on certain contributions were exceeded cannot be rolled over.

The Retirement office should be able to tell you if your payment includes amounts which cannot be rolled over.

## II. DIRECT ROLLOVER

A DIRECT ROLLOVER is a direct payment<sup>5</sup> of the amount of your FCERA contributions to a traditional IRA, an eligible employer plan that will accept such contributions or beginning on January 1, 2008, a Roth IRA. You can choose a DIRECT ROLLOVER of all or any portion of your payment that is an eligible rollover distribution, as described in Part I above. You are not taxed on any taxable portion of your payment for which you choose a DIRECT ROLLOVER until you later take it out of the traditional IRA or eligible employer plan. However, you will be taxed on the taxable portion of the payment that is directly rolled over to a Roth IRA in the year that you make the rollover. In addition, no income tax withholding is required for any taxable portion of your FCERA distribution for which you choose a DIRECT ROLLOVER.

*DIRECT ROLLOVER to a Traditional IRA or a Roth IRA.* You can open a traditional IRA to receive the direct rollover. If you choose to have your payment made directly to a traditional IRA or, if you are eligible, to a Roth IRA, contact an IRA sponsor (usually a financial institution) to find out how to have your payment made in a direct rollover to a traditional IRA or to a Roth IRA at that institution. If you are unsure of how to invest your money, you can temporarily establish a traditional IRA or, if you are eligible, a Roth IRA to receive the payment. However, in choosing a traditional IRA or a Roth IRA, you may wish to make sure that the traditional IRA or a Roth IRA you choose will allow you to move all or a part of your payment to another IRA at a later date, without penalties or other limitations. See IRS Publication 590, Individual Retirement Arrangements, for more information on traditional IRAs and Roth IRAs (including limits on how often you can roll over between IRAs).

*DIRECT ROLLOVER to an Eligible Employer Plan.* If you are employed by a new employer that has an eligible employer plan, and you want a direct rollover your payment to that plan, ask the plan administrator of that plan whether the plan will accept your rollover. An eligible employer plan is not legally required to accept a rollover. Even if your new employer's plan does not accept a rollover, you can choose a DIRECT ROLLOVER to a traditional IRA or, in some circumstances, a Roth IRA. If the employer plan accepts your rollover, the plan may provide restrictions on the circumstances under which you may later receive a distribution of the rollover amount or may require spousal consent to any subsequent distribution. Check with the plan administrator of that plan before making your decision.

*Change in Tax Treatment Resulting from a DIRECT ROLLOVER.* The tax treatment of any payment from the eligible employer plan, traditional IRA or a Roth IRA receiving your DIRECT ROLLOVER might be different than if you received your benefit in a taxable distribution directly from FCERA. For example, if you were born before January 1, 1936, you might be entitled to ten-year averaging or capital gain treatment, as explained below. However, if you have your benefit rolled over to a section 403(b) tax-sheltered annuity, a governmental 457 plan, a traditional IRA or a Roth IRA in a DIRECT ROLLOVER, your benefit will no longer be eligible for that special treatment. See the sections below entitled "Additional 10% Tax if You Are under Age 59 1/2" and "Special Tax Treatment if You Were Born before January 1, 1936."

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<sup>5</sup> See footnote 2.

### III. PAYMENT PAID TO YOU

If your payment can be rolled over (see Part I above) and the payment is made to you in cash, it is subject to 20% federal income tax withholding on the taxable portion (state tax withholding may also apply). The payment is taxed in the year you receive it unless, within 60 days, you roll it over to a traditional IRA or an eligible employer plan that accepts rollovers. If you do not roll it over, special tax rules may apply.

#### Income Tax Withholding:

**Mandatory Withholding.** If any portion of your payment can be rolled over under Part I above and you do not elect to make a DIRECT ROLLOVER, FCERA is required by law to withhold 20% of the taxable amount. This amount is sent to the IRS as federal income tax withholding. For example, if you can roll over a taxable payment of \$10,000, only \$8,000 will be paid to you because FCERA must withhold \$2,000 as income tax. However, when you prepare your income tax return for the year, unless you make a rollover within 60 days (see "Sixty-Day Rollover Option" below), you must report the full \$10,000 as a taxable payment from FCERA. You must report the \$2,000 as tax withheld, and it will be credited against any income tax you owe for the year. There will be no income tax withholding if your payments for the year are less than \$200.

**Voluntary Withholding.** If any portion of your payment is taxable but cannot be rolled over under Part I above, the mandatory withholding rules described above do not apply. In this case, you may elect not to have withholding apply to that portion. If you do nothing, 10% will be taken out of this portion of your payment for federal income tax withholding (and an additional amount may be withheld for state income tax withholding). To elect out of withholding, ask the Retirement Office for the election form and related information.

**Sixty-Day Rollover Option.** If you receive a payment that can be rolled over under Part I above, you can still decide to roll over all or part of it to a traditional IRA or to an eligible employer plan that accepts rollovers. If you decide to roll over, you must contribute the amount of the payment you received to a traditional IRA or eligible employer plan within 60 days after you receive the payment. The portion of your payment that is rolled over will not be taxed until you take it out of the traditional IRA or the eligible employer plan.

You can roll over up to 100% of your payment that can be rolled over under Part I above, including an amount equal to the 20% of the taxable portion that was withheld. If you choose to roll over 100%, you must find other money within the 60-day period to contribute to the traditional IRA or the eligible employer plan, to replace the 20% that was withheld. On the other hand, if you roll over only the 80% of the taxable portion that you received, you will be taxed on the 20% that was withheld.

**Example:** The taxable portion of your payment that can be rolled over under Part I above is \$10,000, and you choose to have it paid to you. You will receive \$8,000, and \$2,000 will be sent to the IRS as income tax withholding. Within 60 days after receiving the \$8,000, you may roll over the entire \$10,000 to a traditional IRA or an eligible employer plan. To do this, you roll over the \$8,000 you received from FCERA, and you will have to find \$2,000 from other sources (your savings, a loan, etc.). In this case, the

entire \$10,000 is not taxed until you take it out of the traditional IRA or an eligible employer plan. If you roll over the entire \$10,000, when you file your income tax return you may get a refund of part or all of the \$2,000 withheld.

If, on the other hand, you roll over only \$8,000, the \$2,000 you did not roll over is taxed in the year it was withheld (and may be subject to the additional 10% tax described below). When you file your income tax return, you may get a refund of part of the \$2,000 withheld. (However, any refund is likely to be larger if you roll over the entire \$10,000.)

***Additional Tax If You Are under Age 59 1/2.*** If you receive a payment before you reach age 59 1/2 and you do not roll it over, then, in addition to the regular income tax, you may have to pay an extra federal tax equal to 10% of the taxable portion of the payment and an additional California tax equal to 2 1/2% of the taxable portion of the payment. The additional tax generally does not apply to (1) payments that are paid after you separate from service with your employer during or after the year you reach age 55, (2) payments that are paid because you retire due to disability, (3) payments that are paid as equal (or almost equal) payments over your life or life expectancy (or your and your beneficiary's lives or life expectancies), (4) payments that are paid directly to the government to satisfy a federal tax levy, (6) payments that are paid to an alternate payee under a qualified domestic relations order, or (7) payments that do not exceed the amount of your deductible medical expenses. See IRS Form 5329 for more information on the additional 10% federal tax.

***Special Tax Treatment If You Were Born before January 1, 1936.*** If you receive a payment from FCERA that can be rolled over under Part I above and you do not roll it over to a traditional IRA or other eligible employer plan that will accept it, the payment will be taxed in the year you receive it. However, if the payment qualifies as a "lump sum distribution," it may be eligible for special tax treatment. A lump sum distribution is a payment, within one year, of your entire balance under FCERA (and certain other similar plans of your employer) that is payable to you *after* you have reached age 59½ or because you have separated from service with your employer. For a payment to be treated as a lump sum distribution, you must have been a participant in FCERA for at least 5 years before the year in which you received the distribution and you must not be entitled to future FCERA benefits. The special tax treatment for lump sum distributions that may be available to you is described below.

***Ten-Year Averaging.*** If you receive a lump sum distribution and you were born before January 1, 1936, you can make a one-time election to figure the tax on the payment by using "10-year averaging" (using 1986 tax rates). Ten-year averaging often reduces the tax you owe.

***Capital Gain Treatment.*** If you receive a lump sum distribution and you were born before January 1, 1936, and if you were a participant in FCERA before 1974, you may elect to have the part of your payment that is attributable to your pre-1974 participation in FCERA taxed as long-term capital gain at a rate of 20%.

There are other limits on the special tax treatment for lump sum distributions. For example, you can generally elect this special tax treatment only once in your lifetime, and the election applies to all lump sum distributions that you receive in that same year. You may not elect this special tax treatment if you rolled amounts into FCERA from a 403(b) tax-sheltered annuity contract, a governmental 457 plan, or from an IRA not originally attributable to a qualified employer plan. If you have previously rolled over a distribution from FCERA (or certain other similar plans of the employer), you cannot use this special averaging treatment for later payments from FCERA. If you roll over your payment to a traditional IRA, Roth IRA, governmental 457 plan, or 403(b) tax-sheltered annuity, you will not be able to use special tax treatment for later payments from that IRA, plan, or annuity. Also, if you roll over only a portion of your payment to a traditional IRA, Roth IRA, governmental 457 plan, or 403(b) tax-sheltered annuity, this special tax treatment is not available for the rest of the payment. See IRS Form 4972 for additional information on lump sum distributions and how you elect the special tax treatment.

*Special Treatment of Reservists Called to Active Duty Between September 11, 2001 and December 31, 2007 for More Than 179 Days.* You may be exempt from the 10% penalty for early distributions from FCERA if you were an armed force reservists called to active duty after September 11, 2001 and before December 31, 2007. The 10% penalty will not apply to the member contribution portion of any distribution paid to a reservist if (a) the reservist was called to active duty for more than 179 days or an indefinite period of time and (b) the distribution is made during the period beginning on the date the reservist is called to active duty and ending on the close of the active duty period. Generally, a reservist may re-contribute all or part of the member contributions that were distributed during such period to an IRA within a two-year period beginning on the day after the end of the active duty. Please contact your tax professional for more information.

*Special Treatment of Distributions for Qualified Public Safety Employees.* The 10% early withdrawal penalty tax does not apply to distributions from the FCERA made to qualified public safety officers who separate from service after age 50. A qualified public safety officer is an employee of a state or political subdivision of a state (such as a county or city) whose principal duties include services requiring specialized training in the area of police protection, firefighting services or emergency medical services for any area within the jurisdiction of the state or the political subdivision of the state. In order to receive the exception from the 10% additional tax, you must (1) be a qualified public safety officer, defined above; (2) must have received the distribution from the FCERA and (3) the separation from service must have occurred during or after the calendar year in which you attained age 50. The exception from the 10% early withdrawal penalty does not apply to amounts rolled over into a traditional IRA, a Roth IRA, or eligible employer retirement plan which you subsequently take as an early withdrawal from such IRA or plan. Please contact your tax professional for more information.

#### **IV. SURVIVING SPOUSES, ALTERNATE PAYEES, AND OTHER BENEFICIARIES**

In general, the rules summarized above that apply to payments to members also apply to payments to surviving spouses of members or former spouses who are "alternate payees." You are considered an "alternate payee" for purposes of this notice if you are a spouse or former spouse whose interest in FCERA results from a "qualified domestic relations order," which is an order issued by a court, usually in connection with a divorce or legal separation.

If you are a surviving spouse or an alternate payee, you may choose to have a payment that can be rolled over, as described in Part I above, paid in a DIRECT ROLLOVER to a traditional IRA, to an eligible employer plan, paid to you or effective January 1, 2008, paid to a Roth IRA. If you have the payment paid to you, you can keep it or roll it over yourself to a traditional IRA or to an eligible employer plan. Thus, you have the same choices as the member.

If you are not a surviving spouse or an alternate payee, and you are a designated beneficiary in FCERA (other than an estate), you may choose to have to have a payment that can be rolled over, as described in Part I above, paid in a DIRECT ROLLOVER to a traditional inherited IRA or paid to you. No other forms of distribution are permitted if you are not a surviving spouse or alternate payee. If you elect to transfer the distribution to a traditional IRA, the IRA must be designated as an inherited IRA that identifies you as the participant's beneficiary. In general, distributions from the inherited IRA must either be paid to you in full within 5 years of the deceased participant's death or must commence within 12 months of the participant's death and be paid over your life expectancy.

As explained above, surviving spouses and alternate payees, have the same choices as the member. However, unlike surviving spouses or alternate payees, non-spouse beneficiaries do not have the same choices as the member. If you are a non-spouse or alternate payee beneficiary, you may have the payment paid directly to you from FCERA or directly transferred from FCERA to an inherited traditional IRA that you establish. Because of this difference, the mandatory withholding rules described above in Part IV, which typically apply to payments that are not directly rolled over, do not apply to payments made to non-spouse designated beneficiaries.

If you are a surviving spouse, an alternate payee, or another beneficiary, your payment is generally not subject to the additional 10% tax described in Part III above, even if you are younger than age 59 1/2.

If you are a surviving spouse, an alternate payee, or another beneficiary, you may be able to use the special tax treatment for lump sum distributions as described in Part III above. If you receive a payment because of the member's death, you may be able to treat the payment as a lump sum distribution if the member met the appropriate age requirements, whether or not the member had 5 years of participation in FCERA.

## **HOW TO OBTAIN ADDITIONAL INFORMATION**

This notice summarizes only the federal (not state or local) tax rules that might apply to your payment. The rules described above are complex and contain many conditions and exceptions that are not included in this notice. Therefore, you may want to consult with the Retirement office or a professional tax advisor before you take a payment of your contributions to FCERA. Also, you can find more specific information on the tax treatment of payments from qualified employer plans in IRS Publication 575, Pension and Annuity Income, and IRS Publication 590, Individual Retirement Arrangements. These publications are available from your local IRS office, on the IRS's Internet Web Site at [www.irs.gov](http://www.irs.gov), or by calling 1-800-TAX-FORMS.

# FCERA Payroll Import Activity

Payroll Period  
8/23/2010 - 9/5/2010

## Employment Status Change

Name	SSN	Old Employment Status	New Employment Status	Current Contribution	Event Status
Beck		LOA	Active:U02	\$274.76	
Carlo		LOA	Active:U12	\$92.26	
Dail, C		LOA	Active:U03	\$164.73	
Davis		Refund	Active:XTR	\$0.00	
Geo, A		FMLA	Active:U19	\$139.91	
Gloria		FMLA	Active:U02	\$244.85	
Kelly,		Terminated	Active:XTR	\$0.00	
Laugh		LOA	Active:U12	\$81.01	
Leyva		LOA	Active:U22	\$32.89	
McFir		LOA	Active:U12	\$102.30	
Mend		LOA	Active:U36	\$168.32	
Mitch		LOA	Active:U04	\$154.35	
Rece		Terminated	Active:U12	\$0.00	
Ryals		Terminated	Active:UNR	\$0.00	
Velas		FMLA	Active:U12	\$93.76	
Wilso		LOA	Active:U03	\$171.33	
Wing		FMLA	Active:U04	\$63.37	
Sar, S		LOA	FMLA	\$0.00	
Burge		LOA:	Leave:Retroactive Leave	\$0.00	
Rios, J		LOA:	Leave:	\$0.00	
Rutle		LOA:Health Reasons	Leave:	\$0.00	
Charl		FMLA	LOA	\$0.00	
Merric		Active:U03	LOA	\$0.00	
Rodrig		FMLA	LOA	\$0.00	
Thom		FMLA	LOA	\$0.00	
Ander		Active:U06	Terminated —		
Ander		Retired	Terminated — Retired		
Baca,		Active:XTR —	Terminated — No Contributions		
Byers		Active:U02	Terminated		
Calvil		Active:U12	Terminated		
Corde		Retired	Terminated — Retired		
Del Te		Retired	Terminated — Retired		
Diehl,		Active:U36	Terminated		
Engle		Active:XTR —	Terminated — No Contributions		
Evans		Suspended	Terminated — Even Already ran - letter sent 9-15-10		

Print Payroll

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Printed on Wed Sep 15, 2010 5:21 pm



# FCERA Payroll Import Activity

Payroll Period  
8/23/2010 - 9/5/2010

## Employment Status Change

Name	Old Employment Status	New Employment Status	Current Contribution	Event Status
Flores	Retired	Terminated - Retired		
Fowle	Active:SMG	Terminated -		Normal Retirement
Franc	Active:XTR	Terminated - No Contributions		
Franc	Active:XTR	Terminated - Retired to xtra to term DOR 2/25/06		
Garcia	Active:U02	Terminated		
Hagop	Retired	Terminated - Retired		
Howa	Active:XTR	Terminated - No Contributions		
Hrusk	Active:XTR	Terminated - No Contributions		
Knight	Active:XTR	Terminated - No Contributions		
Lee,W	Active:U30	Terminated		
Lynn,	Retired	Terminated - Retired		
Molina	Retired	Terminated - Retired		
Monta	Retired	Terminated - Retired		
Moren	Retired	Terminated - Retired		
Osegu	Active:U04	Terminated		
Pache	Active:XTR	Terminated - No Contributions		
Pared	Active:XTR	Terminated - No Contributions		
Parso	Active:XTR	Terminated - No Contributions		
Ramos	Active:U02	Terminated		
Rawit	Active:XTR	Terminated - Retired to xtra to term DOR 4/1/09		
Reyes	Retired	Terminated - Retired		
Risuer	Retired	Terminated - Retired		
Rutigli	Retired	Terminated - Retired		
Shuler	Active:XTR	Terminated - Retired to xtra to term DOR 12/16/06		
Sitze,C	Active:XTR	Terminated - Retired to xtra to term DOR 5/30/09		
Solanc	Retired	Terminated - Retired		
Sorian	Retired	Terminated - Retired		
Stacy,	Retired	Terminated - Retired		
Sulliva	Retired	Terminated - Retired		
Thao,C	Active:XTR	Terminated - No Contributions		
Threet	Active:U12	Terminated -		Normal Retirement
Tjahja	Retired	Terminated - Retired		
Tsuka	Active:XTR	Terminated - Retired to xtra to term DOR 3/95/06		
Vargas	Retired	Terminated - Retired		
Verha	Active:XTR	Terminated - Retired to xtra to term DOR 5/1/09		
Villega	Disability Retirement	Terminated - Retired		
Vu,Lie	Retired	Terminated - Retired		

# FCERA Payroll Import Activity

Payroll Period  
8/23/2010 - 9/5/2010

## Employment Status Change

Name		Old Employment Status	New Employment Status	Current Contribution	Event Status
Wilso		Active:U12	Terminated		
Winni		Retired	Terminated — Retired		
Count 74					

# FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION

## ENROLLMENT CARD

LAST NAME	FIRST NAME	MIDDLE NAME	SOCIAL SECURITY #
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STREET/P.O. ADDRESS	CITY	STATE	ZIP CODE
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DATE ENTERED COUNTY SERVICE AS A  
PERMANENT EMPLOYEE:

HIRING DEPARTMENT:  
JOB TITLE:

HAVE YOU PREVIOUSLY BEEN A MEMBER OF FRESNO COUNTY'S RETIREMENT SYSTEM? YES [ ] NO [ ]

IF SO, SPECIFY DATES:

ARE YOU A MEMBER OF ANOTHER 1937 ACT COUNTY RETIREMENT SYSTEM, PUBLIC EMPLOYEES' RETIREMENT SYSTEM (PERS), THE STATE TEACHERS RETIREMENT SYSTEM (STRS), THE JUDGES RETIREMENT OR OTHER CALIFORNIA PUBLIC AGENCY? IF SO, SPECIFY SYSTEM:

DO YOU WISH TO ESTABLISH RECIPROCITY? YES [ ] NO [ ]

DATE OF BIRTH: MO \_\_\_ DAY \_\_\_ YR \_\_\_ FEMALE [ ] MALE [ ] SINGLE [ ] MARRIED [ ]

Membership in the Fresno County Employees' Retirement Association is mandatory. Newly hired employees of Fresno County and the Special Districts become a member upon appointment to a permanent position working at least 50% of full-time. The effective date of membership is the first day of the pay period following the date of permanent employment. Effective January 1, 2004, newly hired employees of Fresno County and the Special Districts who have attained the age of 60 may waive membership by completing a declaration to waive membership and returning it to the retirement office within 30 days of hire. A copy of your birth certificate or alternative evidence of birth to verify the above birth date and entry age used to calculate the bi-weekly retirement contribution must be submitted to the retirement office before you can begin receiving a retirement benefit. Upon receipt of your birth certificate or alternative evidence of birth, your age at membership will be recalculated. If you failed to provide the correct date of birth, your entry age will be changed to the correct age and you may owe additional contributions to the retirement system before you can retire.

IF MARRIED, DATE OF MARRIAGE: MO \_\_\_ DAY \_\_\_ YR \_\_\_

BENEFICIARY'S LAST NAME	FIRST NAME	MIDDLE INITIAL	SOCIAL SECURITY #	RELATIONSHIP
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BENEFICIARY'S STREET/P.O. BOX ADDRESS	STATE	ZIP	BENEFICIARY'S DATE OF BIRTH MO ___ DAY ___ YR ___
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I DECLARE UNDER PENALTY OF PERJURY THAT THE ABOVE INFORMATION IS TRUE AND CORRECT AND THAT I HAVE READ AND UNDERSTAND THE ABOVE REQUIREMENTS.

MEMBER'S SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

WITNESS SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

### RETIREMENT USE ONLY

ENTRY AGE VERIFIED BY \_\_\_\_\_  
MASTER FILE VERIFIED BY \_\_\_\_\_  
RECIPROCITY ESTABLISHED \_\_\_\_\_

EFF. DATE: YR \_\_\_ MO \_\_\_ DAY \_\_\_  
BIRTH DATE: YR \_\_\_ MO \_\_\_ DAY \_\_\_  
ENTRY AGE: \_\_\_\_\_

GENERAL [ ] SAFETY [ ]

## Calc Audit Trail: SSN-02-NNNN K J F

Benefit Calculation for: K J F  
SSN: NNN-02-NNNN  
Employee No.: 00012974  
PENSIONS No.: 27260  
Category County  
Category Status Active  
Estimated Term Date 12/31/2008  
Elected Retirement Date 01/01/2009  
Monthly Soc Sec Ben \$12,000.00, used for TAO  
Soc Sec Ben Est Date 01/01/2009  
Pay Definition Old (Highest Non-Consecutive Biweeks + 26 Biweeks)  
Final or Estimate Estimate  
Use Annual Leave No  
Project Ctb to Term Yes  
Calculation Requested Termination / Retirement  
Version Version 2010.01  
SQL Server / Database: Retirement2 / Production  
Calculator Start Time: 9/16/2010 9:53:04 AM

Beneficiary ( 1) G Prin, is the Eligible Spouse

Date of Birth - Employee:   
Date of Birth - Eligible Spouse:   
Date of Entry: 01/25/1999  
Date of Term: 12/31/2008  
Benefit Commencement Date: 01/01/2009

### Service records

10/05/1998, extra help, purchased, Gen, Int, XTR, Paid  
01/11/1999, new hire, purchased, Gen, Int, NHR, Paid  
01/25/1999, active, Gen, Int, U22, Full Time 100%  
02/19/2001, active, Gen, Int, U19, Full Time 100%  
10/24/2005, active, Gen, Int, SMG, Full Time 100%

### Service Periods

Period 1, Entry date 1/25/1999, Term date 12/31/2008, Entry Age 43

Service within each Period	yrs	mos	dys	
Period 1, Prior County, 10/05/98 to 01/10/99:	100.00%	pd,	svc	0.1833
Period 1, Prior County, 01/11/99 to 01/24/99:	100.00%	pd,	svc	0.0222
Service 01/25/1999 to 02/18/2001:	2	0	24	svc 2.0667
Service 02/19/2001 to 10/23/2005:	4	8	5	svc 4.6806
Service 10/24/2005 to 12/31/2008:	3	2	8	svc 3.1889

Additional Service due to Annual Leave was not processed

### Total Service in Each Service Period

Service Period 1 from 1/25/1999 to 12/31/2008	Total	Intgrtd
General Service	10.1417	10.1417

Total Service	Total	General
Benefit Service:	10.1417	10.1417
Ben Svc Integrated with Soc Sec:		10.1417
Eligibility Service:	10.1417	
Continuous Svc to Ctb Stop(30 Yrs):	9.9362	
Prior County Service:	0.2055	

Employee's Benefit Commencement Age: 53 years and 2 months  
Beneficiary 1 Eligible Spouse: 53 years and 0 months  
Date First Eligible for Retirement: 1/1/2009  
Member is eligible for retirement  
Adjustment of Eligibility Service to Date of Retirement  
Eligibility Service to termination: 12/31/2008 10.1417  
Eligibility Service to retirement: 01/01/2009 10.1444

Calculation to be performed: Service Retirement

Complete Pay History and Pay History from 1/25/1999 to 12/31/2008:

Full Pay History:					Pay Used in Highest Non-Consecutive Average		
Pay Start	Pay	Pay	Zero	Updated	Pay	Pay	
Date	Period	Freq	Rate	Reason	By	Period	Rate
12/17/2007	2008-01	Biwk	2,829.00		Payload	2008-01	2,829.00
12/18/2006	2007-01	Biwk	2,754.00		Payload	2007-01	2,754.00
8/28/2006	2006-19	Biwk	2,661.00		Payload	2006-19	2,661.00
1/02/2006	2006-02	Biwk	2,635.00		Payload	2006-02	2,635.00

12/19/2005 2006-01 Biwk 2,608.00  
10/24/2005 2005-23 Biwk 2,538.00  
12/20/2004 2005-01 Biwk 2,307.00  
12/22/2003 2004-02 Biwk 2,143.00  
FCERA Calculation Audit Trail

Payload  
Payload  
Payload  
Payload

2006-01 2,608.00  
2005-23 2,538.00  
2005-01 2,307.00  
2004-02 2,143.00

# Calc Audit Trail: SSN-02-NNNN K J F

12/09/2002	2003-01	Biwk	2,041.00	Payload	2003-01	2,041.00
11/11/2002	2002-25	Biwk	1,962.00	Payload	2002-25	1,962.00
12/10/2001	2002-01	Biwk	1,869.00	Payload	2002-01	1,869.00
11/12/2001	2001-25	Biwk	1,806.37	Payload	2001-25	1,806.37
7/09/2001	2001-16	Biwk	1,720.37	Payload	2001-16	1,720.37
5/14/2001	2001-12	Biwk	1,686.37	Payload	2001-12	1,686.37
12/11/2000	2001-01	Biwk	1,591.37	Payload	2001-01	1,591.37
11/13/2000	2000-25	Biwk	1,507.00	Payload	2000-25	1,507.00
4/17/2000	2000-10	Biwk	1,435.00	Payload	2000-10	1,435.00
12/13/1999	2000-01	Biwk	1,407.00	Payload	2000-01	1,407.00
11/15/1999	1999-25	Biwk	1,366.00	Payload	1999-25	1,366.00
5/17/1999	1999-12	Biwk	1,301.00	Payload	1999-12	1,301.00
4/19/1999	1999-10	Biwk	1,181.00	Payload	1999-10	1,181.00
12/14/1998	1999-01	Biwk	1,125.00	NonCounty Payload	1999-01	0.00
10/05/1998	1998-22	Biwk	1,092.00	NonCounty Payload	1998-22	0.00

Highest Non-Consecutive 1 Year Average Pay Calculation from 1/25/1999 to 12/31/2008:

Interval	Pay Start Date	Pay Period	Freq	Amount
1	12/29/2008	2009-02	Biwk	2,829.00
2	12/15/2008	2009-01	Biwk	2,829.00
3	12/01/2008	2008-26	Biwk	2,829.00
4	11/17/2008	2008-25	Biwk	2,829.00
5	11/03/2008	2008-24	Biwk	2,829.00
6	10/20/2008	2008-23	Biwk	2,829.00
7	10/06/2008	2008-22	Biwk	2,829.00
8	09/22/2008	2008-21	Biwk	2,829.00
9	09/08/2008	2008-20	Biwk	2,829.00
10	08/25/2008	2008-19	Biwk	2,829.00
11	08/11/2008	2008-18	Biwk	2,829.00
12	07/28/2008	2008-17	Biwk	2,829.00
13	07/14/2008	2008-16	Biwk	2,829.00
14	06/30/2008	2008-15	Biwk	2,829.00
15	06/16/2008	2008-14	Biwk	2,829.00
16	06/02/2008	2008-13	Biwk	2,829.00
17	05/19/2008	2008-12	Biwk	2,829.00
18	05/05/2008	2008-11	Biwk	2,829.00
19	04/21/2008	2008-10	Biwk	2,829.00
20	04/07/2008	2008-09	Biwk	2,829.00
21	03/24/2008	2008-08	Biwk	2,829.00
22	03/10/2008	2008-07	Biwk	2,829.00
23	02/25/2008	2008-06	Biwk	2,829.00
24	02/11/2008	2008-05	Biwk	2,829.00
25	01/28/2008	2008-04	Biwk	2,829.00
26	01/14/2008	2008-03	Biwk	2,829.00
Total Annual Salary				\$73,554.00
Monthly Salary before any adjustment				\$6,129.50
IRC §401(a)(17) monthly pay limit				\$28,750.00
Highest Monthly Salary				\$6,129.50

## Benefit Calculation

Benefit = Ret Age Fac \* (Svc \* Sal - SvcInt \* 116.67)

Ret age fac at 53 yrs 0 mos = 0.017412  
 General Tier I Service = 10.1417  
 General Tier I Integrated Svc = 10.1417  
 Final Monthly Salary (1 yr avg)= \$6,129.50  
 Benefit General Tier I = \$1,061.79  
 Supplemental Ret Age Fac = 0.022125  
 Benefit with Supplement = \$1,349.19

Total General Allowance = \$1,349.19  
 Tier I Reg All = 1,061.79  
 Tier I Supp All = 287.40  
 Tier I Allowance = \$1,349.19  
 Tier II Allowance = \$0.00  
 Tier III Allowance = \$0.00

Total Safety Allowance = \$0.00

## Contribution Totals

	Basic	COL	Supp Bas	Supp COL	Supp Er
General Tier I Taxable	\$20,291.47	\$8,587.03	\$6,665.03	\$3,086.66	\$1.00
General Tier I Interest	\$2,371.27	\$524.34	\$451.11	\$160.38	\$0.24
Total	\$22,662.74	\$9,111.37	\$7,116.14	\$3,247.04	\$1.24

Employee	Taxation Total		Membership Total	Grand Total
Taxable	\$38,630.19	General I	\$42,137.29	\$42,137.29
Taxed	\$0.00	General II	\$0.00	
Interest	\$3,507.10	General III	\$0.00	

FCERA Calculation Audit Trail

**Calc Audit Trail: SSN-02-NNNN K J F**

Safety I	\$0.00
Safety II	\$0.00

Er & Ee	Taxation Total		Membership Total	Grand Total
Taxable	\$38,631.19	General I	\$42,138.53	\$42,138.53
Taxed	\$0.00	General II	\$0.00	
Interest	\$3,507.34	General III	\$0.00	
		Safety I	\$0.00	
		Safety II	\$0.00	

## Contrib Information for the Annual Benefit Statement

	Employee Contrib		Employer Contrib
	Bas	COL	SBa
For deduct 01/14/2008	\$241.97		\$661.13
For deduct 01/28/2008	\$241.97		\$661.13
For deduct 02/11/2008	\$241.97		\$661.13
For deduct 02/25/2008	\$241.97		\$661.13
For deduct 03/10/2008	\$241.97		\$661.13
For deduct 03/24/2008	\$241.97		\$661.13
For deduct 04/07/2008	\$241.97		\$661.13
For deduct 04/21/2008	\$241.97		\$661.13
For deduct 05/05/2008	\$241.97		\$661.13
For deduct 05/19/2008	\$241.97		\$661.13
For deduct 06/02/2008	\$241.97		\$661.13
For deduct 06/16/2008	\$241.97		\$661.13
For deduct 06/30/2008	\$273.32		\$691.12
For deduct 07/14/2008	\$273.32		\$691.12
For deduct 07/28/2008	\$273.32		\$691.12
For deduct 08/11/2008	\$273.32		\$691.12
For deduct 08/25/2008	\$273.32		\$691.12
For deduct 09/08/2008	\$273.32		\$691.12
For deduct 09/22/2008	\$273.32		\$691.12
For deduct 10/06/2008	\$273.32		\$691.12
For deduct 10/20/2008	\$273.32		\$691.12
For deduct 11/03/2008	\$273.32		\$691.12
For deduct 11/17/2008	\$273.32		\$691.12
For deduct 12/01/2008	\$273.32		\$691.12
For deduct 12/15/2008	\$273.32		\$691.12
For deduct 12/29/2008	\$273.32		\$691.12
2008 total	\$6,730.12		\$17,609.24
Deduct as of 12/31/2008	\$260.01		

## Actuarial Assumptions used

Basic Interest Rate	=	8.00%
Basic COLA Rate	=	3.00%
Member mortality, setback	=	rpWhM1F2, 0
Benef mortality, setback	=	rpWhM2F1, 0

## Actuarial Factors for Retirement

facSLA	=	134.995230
facAdjSocSec	=	0.431203
facMCR	=	136.797210
facJS100	=	144.092815
facJS50	=	139.544023

## Reserve Factors

facSLACola	=	185.489840
facJS60	=	140.453781
facJS60Cola	=	196.260035

## Unmodified Form Benefits for Retirement

	Annuity	Pension	Supplement	Allowance	Spouse/Minor Child
Tier I	\$167.88	\$893.91	\$287.40	\$1,349.19	\$809.51
TAO before 62	\$295.15	\$1,571.58	\$505.28	\$2,372.01	\$809.51
TAO after 62	\$0.00	\$0.00	\$0.00	\$0.00	\$809.51
Total	\$167.88	\$893.91	\$287.40	\$1,349.19	\$809.51
TAO before 62	\$295.15	\$1,571.58	\$505.28	\$2,372.01	\$809.51
TAO after 62	\$0.00	\$0.00	\$0.00	\$0.00	\$809.51

## Option 1 Benefits for Retirement

	Annuity	Pension	Supplement	Allowance
Tier I	\$165.67	\$893.91	\$287.40	\$1,346.98
TAO before 62	\$165.67	\$1,666.62	\$535.83	\$2,368.12
TAO after 62	\$165.67	-\$125.36	-\$40.31	\$0.00
Total	\$165.67	\$893.91	\$287.40	\$1,346.98
TAO before 62	\$165.67	\$1,666.62	\$535.83	\$2,368.12
TAO after 62	\$165.67	-\$125.36	-\$40.31	\$0.00



Option 2 (JS100) Benefits for Retirement

	Annuity	Pension	Supplement	Allowance
Tier I	\$157.28	\$837.48	\$269.25	\$1,264.01

FCERA Calculation Audit Trail

Beneficiary

\$1,264.01

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# Calc Audit Trail: SSN-02-NNNN K J F

TAO before 62	\$276.51	\$1,472.37	\$473.37	\$2,222.25	\$1,264.01
TAO after 62	\$0.00	\$0.00	\$0.00	\$0.00	\$1,264.01
Total	\$157.28	\$837.48	\$269.25	\$1,264.01	\$1,264.01
TAO before 62	\$276.51	\$1,472.37	\$473.37	\$2,222.25	\$1,264.01
TAO after 62	\$0.00	\$0.00	\$0.00	\$0.00	\$1,264.01

## Reserves

	Annuity	Pension	Total	Total with Spouse/Minor Child
Tier I				
Basic	\$22,662.74	\$120,673.85	\$143,336.59	\$5,795.83
COL	9,111.37	44,503.30	53,614.67	5,639.85
SuppBas	7,116.14	31,681.49	38,797.63	1,568.79
SuppCOL	3,247.04	11,265.11	14,512.15	1,526.57
Total	\$42,137.29	\$208,123.75	\$250,261.04	\$14,531.04
Total				
Basic	\$22,662.74	\$120,673.85	\$143,336.59	\$5,795.83
COL	9,111.37	44,503.30	53,614.67	5,639.85
SuppBas	7,116.14	31,681.49	38,797.63	1,568.79
SuppCOL	3,247.04	11,265.11	14,512.15	1,526.57
Total	\$42,137.29	\$208,123.75	\$250,261.04	\$14,531.04

## Health Benefits

Date of Hire	=	01/11/1999
a. Elig Service	=	10.1417
b. Recip Service	=	0.0000
c. Annual Leave Service	=	0.0000
Health Ben Service a.-b.+c.	=	10.1417
Health Benefit	=	\$30.00
Health Benefit2	=	\$50.00

## Proration Factor from 1/1/2009 to the end of the month

Days Remaining in Ben Comm Month	=	31
Total Days in Ben Comm Month	=	31
Proration Factor	=	1.0000



# FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION

## Service Retirement – CALCULATION SUMMARY

Estimate – using Old Highest Average Pay Definition

<b>Member</b>		Retirement Entry Date:	1/25/1999
SSN:	SSN-NN-NNNN	Date of Termination or Death:	12/31/2008
Marital Status	Married	Benefit Commencement Date:	1/1/2009
Date of Birth:		Age at Benefit Commencement:	53 yrs, 2 mos
Membership:	General Tier I	Dept. No. & Division:	9200
1 yr High Avg Pay:	\$6,129.50	Dept Name:	Retire Asc
3 yr High Avg Pay:	\$0.00		
Soc Sec at age 62	\$12,000.00	Category	County
Soc Sec Est Date	1/1/2009	Category Status	Active

<b>Beneficiaries</b>	SSN	Relationship	Date of Birth
		Eligible Spouse	12/05/1955
Drive			
Madera, CA 93638			

<b>Contributions</b>	<u>Taxed</u>	<u>Taxable</u>	<u>Interest</u>	<u>Total</u>
Basic	\$0.00	\$20,291.47	\$2,371.27	\$22,662.74
COL	0.00	8,587.03	524.34	9,111.37
Supplemental Basic	0.00	6,665.03	451.11	7,116.14
Supplemental COL	0.00	3,086.66	160.38	3,247.04
Total	\$0.00	\$38,630.19	\$3,507.10	\$42,137.29
Projection in Above Total	0.00	0.00		

<b>Service</b>	<u>General</u>	<u>Safety</u>	<u>Prior County Service</u>	<u>Annual Leave Service</u>	<u>General County Service</u>	<u>Safety County Service</u>	<u>Prior Public Service</u>	<u>General Benefit Service</u>	<u>Safety Benefit Service</u>
Tier I Integrtd	9.9362		0.2055		10.1417	0.0000		10.1417	0.0000
Tier I Non-Int					0.0000	0.0000		0.0000	0.0000
Tier II Integrtd					0.0000	0.0000		0.0000	0.0000
Tier II Non-Int					0.0000	0.0000		0.0000	0.0000
Tier III Integrtd					0.0000			0.0000	
Tier III Non-Int					0.0000			0	
Total	9.9362	0.0000	0.2055	0.0000	10.1417	0.0000	0.0000	10.1417	0.0000

<b>Monthly Benefits</b>	<u>Annuity</u>	<u>Pension</u>	<u>Supplemental Allowance</u>	<u>Total Employee Allowance</u>	<u>Continuance to Beneficiary</u>
Unmodified	\$167.88	\$893.91	\$287.40	\$1,349.19	\$809.51
TAO Before 62	\$295.15	\$1,571.58	\$505.28	\$2,372.01	\$809.51
Less Soc Sec at Age 62	(\$295.15)	(\$1,571.58)	(\$505.28)	(\$2,372.01)	
TAO After 62	\$0.00	\$0.00	\$0.00	\$0.00	\$809.51
Option 1	165.67	893.91	287.40	1,346.98	
TAO Before 62	165.67	1,666.62	535.83	2,368.12	
Less Soc Sec at Age 62	0.00	(1,791.98)	(576.14)	(2,368.12)	
TAO After 62	165.67	(125.36)	(40.31)	0.00	
Option 2	157.28	837.48	269.25	1,264.01	1,264.01
TAO Before 62	276.51	1,472.37	473.37	2,222.25	1,264.01
Less Soc Sec at Age 62	(276.51)	(1,472.37)	(473.37)	(2,222.25)	
TAO After 62	0.00	0.00	0.00	0.00	1,264.01

THE AMOUNTS INDICATED ABOVE WILL BE SUBJECT TO REVIEW AND VERIFICATION WHEN YOUR APPLICATION FOR RETIREMENT IS FILED. THE CONTRIBUTION BALANCES ARE PROJECTED TO THE DATE OF RETIREMENT AND MAY NOT REPRESENT YOUR CURRENT BALANCES.

Prepared By: Kpro

Prepared On: 9/16/2010

Version 2010.01

September 16, 2010

██████████  
██████████ Drive  
Madera, CA 93638

Dear Ms. ██████████:

In response to your inquiry, the following represent Retirement Benefit estimates for the dates requested:

<u>Retirement Effective Date</u>	<u>Monthly Benefit Amount</u>
January 1, 2009	\$1,349.19

The amounts indicated above will be subject to review and verification when your retirement application is filed. Please note, if you are within 90 days of your retirement date, please contact our office to schedule an appointment to retire.

For future estimates, please feel free to access the Retirement Benefit Calculator on our website through Fresno County e-Services by clicking on Retirement or the Internet at [www.fcera.org](http://www.fcera.org). The benefit calculator can be used as a tool to aid you in your retirement planning.

If you have any further questions, please contact [Kprinz](#) of our office at (559) 457-0681.

Sincerely,

ROBERTO L. PEÑA  
RETIREMENT ADMINISTRATOR

ROBERTO L. PEÑA  
RETIREMENT ADMINISTRATOR

# FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION

## Service Retirement – CALCULATION SUMMARY

Final – using New Highest Average Pay Definition

<b>Member</b>		Retirement Entry Date:	11/1/1967
SSN:		Date of Termination or Death:	1/5/2002
Marital Status	Married	Benefit Commencement Date:	1/6/2002
Date of Birth:		Age at Benefit Commencement:	57 yrs, 1 mos
Membership:	General Tier I	Dept. No. & Division:	1300100
1 yr High Avg Pay:	\$15,439.46	Dept Name:	GSA Admin
3 yr High Avg Pay:	\$0.00		
Soc Sec at age 62	\$1,308.00	Category	County
Soc Sec Est Date	8/1/2001	Category Status	Retired

<b>Beneficiaries</b>	SSN	Relationship	Date of Birth
		Eligible Spouse	
P.O. Box			
Fresno, CA 93715			

<b>Contributions</b>	<u>Taxed</u>	<u>Taxable</u>	<u>Interest</u>	<u>Total</u>
Basic	\$15,419.60	\$38,578.83	\$114,648.91	\$168,647.34
COL	7,535.02	9,354.39	47,434.95	64,324.36
Supplemental Basic	0.00	0.00	0.00	0.00
Supplemental COL	0.00	0.00	0.00	0.00
Total	\$22,954.62	\$47,933.22	\$162,083.86	\$232,971.70
Projection in Above Total	0.00	0.00		

<b>Service</b>	<u>General</u>	<u>Safety</u>	<u>Prior County Service</u>	<u>Annual Leave Service</u>	<u>General County Service</u>	<u>Safety County Service</u>	<u>Prior Public Service</u>	<u>General Benefit Service</u>	<u>Safety Benefit Service</u>
Tier I Integrtd	33.7250		0.7388		34.4638	0.0000		34.4638	0.0000
Tier I Non-Int					0.0000	0.0000		0.0000	0.0000
Tier II Integrtd					0.0000	0.0000		0.0000	0.0000
Tier II Non-Int					0.0000	0.0000		0.0000	0.0000
Tier III Integrtd					0.0000			0.0000	
Tier III Non-Int					0.0000			0	
Total	33.7250	0.0000	0.7388	0.0000	34.4638	0.0000	0.0000	34.4638	0.0000

<b>Monthly Benefits</b>	<u>Annuity</u>	<u>Pension</u>	<u>Supplemental Allowance</u>	<u>Total Employee Allowance</u>	<u>Continuance to Beneficiary</u>
Unmodified	\$1,372.68	\$10,819.86	\$3,239.50	\$15,432.04	\$9,259.22
TAO Before 62	\$1,443.12	\$11,375.08	\$3,405.74	\$16,223.94	\$9,259.22
Less Soc Sec at Age 62	(\$116.35)	(\$917.07)	(\$274.58)	(\$1,308.00)	
TAO After 62	\$1,326.77	\$10,458.01	\$3,131.16	\$14,915.94	\$9,259.22
Option 1	1,341.03	10,819.86	3,239.50	15,400.39	
TAO Before 62	1,341.03	11,429.29	3,421.97	16,192.29	
Less Soc Sec at Age 62	0.00	(1,006.61)	(301.39)	(1,308.00)	
TAO After 62	1,341.03	10,422.68	3,120.58	14,884.29	
Option 2	1,223.97	9,647.72	2,888.56	13,760.25	13,760.25
TAO Before 62	1,294.41	10,202.94	3,054.80	14,552.15	13,760.25
Less Soc Sec at Age 62	(116.35)	(917.07)	(274.58)	(1,308.00)	
TAO After 62	1,178.06	9,285.87	2,780.22	13,244.15	13,760.25

THE AMOUNTS INDICATED ABOVE WILL BE SUBJECT TO REVIEW AND VERIFICATION WHEN YOUR APPLICATION FOR RETIREMENT IS FILED. THE CONTRIBUTION BALANCES ARE PROJECTED TO THE DATE OF RETIREMENT AND MAY NOT REPRESENT YOUR CURRENT BALANCES.

**Golden Handshake**

**Joinder**

**Stipulation**

Prepared By: Maria Benningfield

Prepared On: 8/12/2010

Version 2009.08



Roberto L. Peña  
Retirement Administrator

FRESNO COUNTY EMPLOYEE RETIREMENT ASSOCIATION  
BOARD OF RETIREMENT  
Alan Cade, Jr., Chair  
Eulalio Gomez, Vice Chair  
Michael Cardenas  
Nick Cornacchia  
Vicki Crow  
James E. Hackett  
Steven J. Jolly  
Phil Larson  
John P. Souza  
Ronald S. Frye, Alternate

DATE: October 14, 2009

TO: [REDACTED] Crow  
Auditor Controller/Treasurer-Tax Collector

FROM: Roberto L. Peña *Roberto L. Peña*  
Retirement Administrator

SUBJECT: Replacement Benefit Plan

I have attached the payment amount information to set up [REDACTED]  
and [REDACTED] in the County Replacement Benefit Plan for the remainder  
of this calendar year.

If you have any questions, please contact Carol Sheela or Maria Benningfield of  
the Retirement Office at 457-0681.

# RELACEMENT BENEFITS PLAN

## Employee Information

October 2009 Payroll

Social Security No. [REDACTED]  
 Name: Last [REDACTED]  
 First [REDACTED]  
 Address [REDACTED] Square  
 City, St [REDACTED] Clovis, Ca  
 Zip [REDACTED] 93619-5055

Membership-General

## COUNTY PAYMENT INFORMATION

Payroll Month (s): October 1, 2009

November through December 2009

Annuity	1,036.19	1,185.66
Curr Ser	7,597.70	8,693.85
Supp Ann	2,394.08	2,739.42
Supp Ben	-	-
COL	671.60	768.50
Survivor	-	-
Hlth Ben	78.66	90.00
Hlth Ben 2	131.10	150.00
Supp COL	-	-
<b>Total Gross Amount</b>	<b>11,909.33</b>	<b>13,627.43</b>
Hos Ins	-	-
Dues	-	-
Attach 1	-	-

Prepared by:

Reviewed By:

Ret Supervisor

CS 10/13/09





Roberto L. Peña  
Retirement Administrator

FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION  
BOARD OF RETIREMENT  
Alan Cade, Jr., Chair  
Eulalio Gomez, Vice Chair  
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Nick Cornacchia  
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James E. Hackett  
Steven J. Jolly  
Phil Larson  
John P. Souza  
Ronald S. Frye, Alternate

M.B.  
10-13-09

October 13, 2009

[REDACTED]  
[REDACTED] Square  
Clovis California 93619-5055

Re: Limitation on Annual Pension for 2009 under IRS Code Section 415

Dear [REDACTED]

Internal Revenue Code (IRC) section 415 limits the dollar amount of pension payments which can be made by a pension plan to an individual retiree in a calendar year. The limit varies depending on the age of the member at retirement. Our records indicate that your annual pension limit will be reached in October 2009. Therefore, your October 2009 retirement benefit check from the Fresno County Employees' Retirement Association (FCERA) will be a partial payment in the amount of \$1,718.10 and the remaining amount will be paid by the County of Fresno as described below.

IRC Section 415 affects only the pension plan, not the employer (County of Fresno), so the employer may make up the amount of the pension that exceeds the section 415 annual limits. The County of Fresno and the Fresno County Employees' Retirement Association (FCERA) have agreed to implement this option for County retirees.

Since the County is a separate legal entity from FCERA, you will need to submit tax-withholding forms to the County to enable the County to pay you for the remainder of 2009. Enclosed please find tax withholding forms and an envelope addressed to the Auditor-Controller/Treasurer-Tax Collector, General Accounting Division. Please return these forms by October 20, 2009 in order to ensure that the County can issue its payments to you in a timely manner. Even if you do not wish to have any taxes withheld from your pension check, you must return the completed forms indicating no withholding.

The County does not issue direct deposit payments to non-employees. Accordingly, for the remainder of 2009 you will receive checks at the address indicated above directly from the County. Your check will be issued on the last working day of each month, as follows:

Partial Payment for October 2009	\$11,909.33
Full Monthly Payment for November through December 2009:	\$13,627.43

October 13, 2009

Page 2

If you have any questions for the County, please contact Kelly Prinz of the Auditor-Controller/Treasurer-Tax Collector, General Accounting Division at 488-3609.

The County of Fresno Replacement Benefit Plan should be joined as a claimant in your divorce to fully protect both parties for future years. You should contact your attorney or legal document service of your choice and take the appropriate steps to join the plan. The County will then provide a sample court order, and the parties can complete the process before the limit is reached in future years.

Since the County is a separate legal entity, technically the court order requiring FCERA to divide the pension benefit does not apply to the payments made by the County as a result of Section 415. If you object to payment by the County as set forth above for the remainder of 2009, please immediately advise the General Accounting Division in writing.

Full payment by FCERA will resume in January 2010 and the withholding and direct deposit forms, if any, on file with FCERA will be reinstated. Please contact our office if you wish to change any of this information. In the future, should you reach the IRC section 415 annual limits again, we will notify you as to when the limit is reached and when the County of Fresno Replacement Benefit Plan will begin for that year.

If you have any questions regarding this matter, please contact Carol Sheela or Maria Benningfield of our office at (559) 457-0681.

Sincerely,

ROBERTO L. PEÑA  
RETIREMENT ADMINISTRATOR



Carol Sheela  
Retirement Benefits Manager

RLP:CS:lgm

Enclosures

cc: Auditor-Controller/Treasurer-Tax Collector  
General Accounting Division  
P.O. Box 1247  
Fresno, California 93715-1247

## INTER-SYSTEM MEMBERSHIP ADVICE

1. TO: <b>Los Angeles County Employees' Retirement Association</b> <b>300 N. Lake Avenue</b> <b>Pasadena, CA 91101-4199</b>		2. NAME: (FIRST, MIDDLE, LAST)	
		3. SOCIAL SECURITY NUMBER: <b>xxx-xx-xxxx</b>	
4. DATE OF SEPARATION FROM EMPLOYMENT:  <b>6/26/1989</b>	5. MEMBERSHIP DATE:  <b>7/10/1989</b>	6. BIRTH DATE:  <b>5/31/1950</b>	7. SEX:  <b>MALE</b>
8. SERVICE:  <b>General</b>	9. MEMBERS'S AGE FOR RATE OF CONTRIBUTION:  <b>34</b>		10. YEARS OF SERVICE CREDITED IN THIS SYSTEM:
11. INCOMING RECIPROCITY		IF YES, WHAT SYSTEM?	
12. REMARKS: <b>Will you establish reciprocity?</b> <b>Would member receive any retirement benefits from LACERA in the future?</b>			
CERTIFIED BY: <b>Diane Didulo</b>		TITLE: <b>Retirement Coordinator</b>	
DATE:  <b>May 1, 2009</b>		RETIREMENT SYSTEM: <b>Fresno County Employees' Retirement Association</b> <b>1111 "H" Street</b> <b>Fresno, CA 93721</b>	

13. REGARDING THE PERSON IDENTIFIED ABOVE:  Membership date in this system is: _____  Date of employment in which above person became a member: _____	
14. _____ PERSON IS IN EMPLOYMENT, BUT IS NOT ELIGIBLE FOR MEMBERSHIP.	
15. _____ PERSON REFUNDED CONTRIBUTIONS FROM THIS SYSTEM.      DATE OF REFUND: _____	
16. _____ PERSON DID NOT ESTABLISH MEMBERSHIP WITHIN 6 MONTHS OF DATE OF SEPARATION NOTED ABOVE.	
17. REMARKS:	
CERTIFIED BY:	TITLE:
DATE:	RETIREMENT SYSTEM:

Member audit trail.txt

Calc Audit Trail: [REDACTED]  
 Benefit Calculation for: [REDACTED]  
 Employee No.: 0000459x  
 PENSIONS No.: 3061  
 Category: County  
 Category Status: Active  
 Estimated Term Date: 02/13/2011  
 Elected Retirement Date: 02/14/2011  
 Monthly Soc Sec Ben: \$1,058.00, used for TAO  
 Soc Sec Ben Est Date: 01/01/2011  
 Pay Definition: New (Highest Consecutive Biweeks + 26 1/14 Biweeks)  
 Final or Estimate: Final  
 Use Annual Leave: No  
 Project Ctb to Term: Yes  
 Calculation Requested: Termination / Retirement  
 Version: Version 2010.01  
 SQL Server / Database: Retirement2 / Production  
 Calculator Start Time: 1/26/2011 1:00:54 PM

Beneficiary ( 1) [REDACTED], is an 'other' beneficiary

Date of Birth - Employee: [REDACTED]  
 Date of Birth - Other Beneficiary: [REDACTED]  
 Date of Entry: 11/26/1990  
 Date of Term: 02/13/2011  
 Benefit Commencement Date: 02/14/2011

Service records

02/21/1989, no credit, extra help that wasn't purchased NN  
 11/12/1990, no credit, new hire that wasn't purchased NN  
 11/26/1990, active, Saf, Int, U02, Full Time 100%  
 12/17/2007, active, Saf, Int, U02, Full Time 105%

Service Periods

Period 1, Entry date 11/26/1990, Term date 2/13/2011, Entry Age 35

Service within each Period	yrs	mos	dys	
Service 11/26/1990 to 12/16/2007:	17	0	21	svc 17.0583
Service 12/17/2007 to 02/13/2011:	3	1	27	svc 3.1583

Additional Service due to Annual Leave was not processed

Total Service in Each Service Period

Service Period 1 from 11/26/1990 to 2/13/2011	Total	Intgrtd
Safety Service	20.2166	20.2166

Total Service	Total	Safety
Benefit Service:	20.2166	20.2166
Ben Svc Integrated with Soc Sec:		20.2166
Eligibility Service:	20.2166	
Continuous Svc to Ctb Stop(30 Yrs):	20.2166	
Prior County Service:	0.0000	

Employee's Benefit Commencement Age: 55 years and 0 months  
 Beneficiary 1 Other: 29 years and 3 months  
 Date First Eligible for Retirement: 2/14/2011  
 Member is eligible for retirement  
 Adjustment of Eligibility Service to Date of Retirement  
 Eligibility Service to termination: 02/13/2011 20.2166  
 Eligibility Service to retirement: 02/14/2011 20.2193

Calculation to be performed: Service Retirement

Member audit trail.txt

Complete Pay History and Pay History from 11/26/1990 to 2/13/2011:

Full Pay History:					Pay Used in Highest		
Consecutive	Average						
Pay Start	Pay	Pay	Zero	Updated	Pay	Pay	Pay
Date	Period	Freq	Reason	By	Period	Period	Rate
12/27/2010	2011-02	Biwk	3,210.27			2011-02	
3,210.27							
12/13/2010	2011-01	Biwk	2,332.00	kim		2011-01	
2,332.00							
11/29/2010	2010-26	Biwk	2,730.19	kim		2010-26	
2,730.19							
11/15/2010	2010-25	Biwk	2,969.81	Payload		2010-25	
2,969.81							
11/01/2010	2010-24	Biwk	3,305.62	Payload		2010-24	
3,305.62							
9/20/2010	2010-21	Biwk	2,766.93	Payload		2010-21	
2,766.93							
9/06/2010	2010-20	Biwk	3,579.99	Payload		2010-20	
3,579.99							
8/09/2010	2010-18	Biwk	2,766.93	Payload		2010-18	
2,766.93							
7/26/2010	2010-17	Biwk	2,620.01	Payload		2010-17	
2,620.01							
7/12/2010	2010-16	Biwk	2,730.19	Payload		2010-16	
2,730.19							
6/28/2010	2010-15	Biwk	3,116.73	Payload		2010-15	
3,116.73							
5/17/2010	2010-12	Biwk	2,635.21	Payload		2010-12	
2,635.21							
5/03/2010	2010-11	Biwk	2,600.23	Payload		2010-11	
2,600.23							
4/19/2010	2010-10	Biwk	2,635.21	Payload		2010-10	
2,635.21							
4/05/2010	2010-09	Biwk	2,390.35	Payload		2010-09	
2,390.35							
3/22/2010	2010-08	Biwk	2,591.90	Payload		2010-08	
2,591.90							
2/22/2010	2010-06	Biwk	2,600.23	Payload		2010-06	
2,600.23							
2/08/2010	2010-05	Biwk	2,626.88	Payload		2010-05	
2,626.88							
1/25/2010	2010-04	Biwk	2,766.93	Payload		2010-04	
2,766.93							
1/11/2010	2010-03	Biwk	3,305.62	Payload		2010-03	
3,305.62							
12/28/2009	2010-02	Biwk	3,079.99	Payload		2010-02	
3,079.99							
12/14/2009	2010-01	Biwk	2,969.81	Payload		2010-01	
2,969.81							
11/30/2009	2009-26	Biwk	2,687.43	Payload		2009-26	
2,687.43							
11/16/2009	2009-25	Biwk	2,884.48	Payload		2009-25	
2,884.48							
11/02/2009	2009-24	Biwk	3,210.65	Payload		2009-24	
3,210.65							
10/19/2009	2009-23	Biwk	2,677.80	Payload		2009-23	
2,677.80							
9/21/2009	2009-21	Biwk	2,687.43	Payload		2009-21	
2,687.43							
9/07/2009	2009-20	Biwk	3,384.48	Payload		2009-20	
3,384.48							

Member audit trail.txt					
8/10/2009	2009-18	Biwk	2,651.75	Payload	2009-18
2,651.75					
7/27/2009	2009-17	Biwk	2,678.36	Payload	2009-17
2,678.36					
7/13/2009	2009-16	Biwk	2,687.43	Payload	2009-16
2,687.43					
6/29/2009	2009-15	Biwk	2,991.50	Payload	2009-15
2,991.50					
6/15/2009	2009-14	Biwk	2,687.43	Payload	2009-14
2,687.43					
6/01/2009	2009-13	Biwk	2,651.75	Payload	2009-13
2,651.75					
5/18/2009	2009-12	Biwk	3,210.65	Payload	2009-12
3,210.65					
4/06/2009	2009-09	Biwk	2,687.43	Payload	2009-09
2,687.43					
3/23/2009	2009-08	Biwk	3,210.65	Payload	2009-08
3,210.65					
3/09/2009	2009-07	Biwk	2,616.08	Payload	2009-07
2,616.08					
2/23/2009	2009-06	Biwk	2,687.43	Payload	2009-06
2,687.43					
2/09/2009	2009-05	Biwk	3,103.63	Payload	2009-05
3,103.63					
1/26/2009	2009-04	Biwk	2,616.08	Payload	2009-04
2,616.08					
1/12/2009	2009-03	Biwk	3,210.65	Payload	2009-03
3,210.65					
12/29/2008	2009-02	Biwk	2,580.41	Payload	2009-02
2,580.41					
12/15/2008	2009-01	Biwk	3,210.65	Payload	2009-01
3,210.65					
12/01/2008	2008-26	Biwk	2,607.93	Payload	2008-26
2,607.93					
11/17/2008	2008-25	Biwk	2,469.46	Payload	2008-25
2,469.46					
11/03/2008	2008-24	Biwk	3,115.67	Payload	2008-24
3,115.67					
10/20/2008	2008-23	Biwk	2,485.57	Payload	2008-23
2,485.57					
9/22/2008	2008-21	Biwk	2,607.93	Payload	2008-21
2,607.93					
9/08/2008	2008-20	Biwk	3,107.93	Payload	2008-20
3,107.93					
8/25/2008	2008-19	Biwk	3,076.11	Payload	2008-19
3,076.11					
8/11/2008	2008-18	Biwk	2,607.93	Payload	2008-18
2,607.93					
7/28/2008	2008-17	Biwk	2,551.88	Payload	2008-17
2,551.88					
7/14/2008	2008-16	Biwk	2,607.93	Payload	2008-16
2,607.93					
6/30/2008	2008-15	Biwk	3,115.67	Payload	2008-15
3,115.67					
6/02/2008	2008-13	Biwk	2,607.93	Payload	2008-13
2,607.93					
5/19/2008	2008-12	Biwk	2,889.83	Payload	2008-12
2,889.83					
5/05/2008	2008-11	Biwk	2,504.07	Payload	2008-11
2,504.07					
4/21/2008	2008-10	Biwk	2,607.93	Payload	2008-10
2,607.93					
4/07/2008	2008-09	Biwk	2,591.44	Payload	2008-09

Member audit trail.txt

2,591.44					
3/24/2008	2008-08	Biwk	2,921.14	Payload	2008-08
2,921.14					
3/10/2008	2008-07	Biwk	2,607.93	Payload	2008-07
2,607.93					
2/25/2008	2008-06	Biwk	2,605.73	Payload	2008-06
2,605.73					
2/11/2008	2008-05	Biwk	2,804.66	Payload	2008-05
2,804.66					
1/28/2008	2008-04	Biwk	2,560.13	Payload	2008-04
2,560.13					
1/14/2008	2008-03	Biwk	2,937.63	Payload	2008-03
2,937.63					
12/31/2007	2008-02	Biwk	2,796.41	Payload	2008-02
2,796.41					
12/17/2007	2008-01	Biwk	2,934.88	Payload	2008-01
2,934.88					
12/03/2007	2007-26	Biwk	2,433.49	Payload	2007-26
2,433.49					
11/19/2007	2007-25	Biwk	2,954.69	Payload	2007-25
2,954.69					
11/05/2007	2007-24	Biwk	2,629.87	Payload	2007-24
2,629.87					
10/22/2007	2007-23	Biwk	2,400.59	Payload	2007-23
2,400.59					
10/08/2007	2007-22	Biwk	2,417.57	Payload	2007-22
2,417.57					
9/24/2007	2007-21	Biwk	2,425.53	Payload	2007-21
2,425.53					
9/10/2007	2007-20	Biwk	2,925.53	Payload	2007-20
2,925.53					
8/27/2007	2007-19	Biwk	2,637.83	Payload	2007-19
2,637.83					
8/13/2007	2007-18	Biwk	2,275.87	Payload	2007-18
2,275.87					
7/30/2007	2007-17	Biwk	2,425.53	Payload	2007-17
2,425.53					
7/16/2007	2007-16	Biwk	2,400.59	Payload	2007-16
2,400.59					
7/02/2007	2007-15	Biwk	2,727.00	Payload	2007-15
2,727.00					
6/18/2007	2007-14	Biwk	2,354.22	Payload	2007-14
2,354.22					
6/04/2007	2007-13	Biwk	2,265.58	Payload	2007-13
2,265.58					
5/21/2007	2007-12	Biwk	2,463.88	Payload	2007-12
2,463.88					
5/07/2007	2007-11	Biwk	2,134.71	Payload	2007-11
2,134.71					
4/23/2007	2007-10	Biwk	2,234.85	Payload	2007-10
2,234.85					
4/09/2007	2007-09	Biwk	2,258.15	Payload	2007-09
2,258.15					
3/26/2007	2007-08	Biwk	2,577.42	Payload	2007-08
2,577.42					
2/26/2007	2007-06	Biwk	2,242.29	Payload	2007-06
2,242.29					
2/12/2007	2007-05	Biwk	2,440.59	Payload	2007-05
2,440.59					
1/29/2007	2007-04	Biwk	2,265.58	Payload	2007-04
2,265.58					
1/15/2007	2007-03	Biwk	2,463.88	Payload	2007-03
2,463.88					

			Member audit trail.txt		
1/01/2007	2007-02	Biwk	2,300.78	Payload	2007-02
2,300.78					
12/18/2006	2007-01	Biwk	2,324.09	Payload	2007-01
2,324.09					
12/04/2006	2006-26	Biwk	2,178.02	Payload	2006-26
2,178.02					
11/20/2006	2006-25	Biwk	2,087.48	Payload	2006-25
2,087.48					
11/06/2006	2006-24	Biwk	2,369.62	Payload	2006-24
2,369.62					
10/23/2006	2006-23	Biwk	2,189.03	Payload	2006-23
2,189.03					
10/09/2006	2006-22	Biwk	2,118.62	Payload	2006-22
2,118.62					
9/25/2006	2006-21	Biwk	2,141.13	Payload	2006-21
2,141.13					
9/11/2006	2006-20	Biwk	2,517.07	Payload	2006-20
2,517.07					
8/28/2006	2006-19	Biwk	2,484.09	Payload	2006-19
2,484.09					
8/14/2006	2006-18	Biwk	2,141.13	Payload	2006-18
2,141.13					
7/31/2006	2006-17	Biwk	2,118.62	Payload	2006-17
2,118.62					
7/17/2006	2006-16	Biwk	2,141.13	Payload	2006-16
2,141.13					
7/03/2006	2006-15	Biwk	2,039.58	Payload	2006-15
2,039.58					
6/19/2006	2006-14	Biwk	2,130.12	Payload	2006-14
2,130.12					
6/05/2006	2006-13	Biwk	2,118.62	Payload	2006-13
2,118.62					
5/22/2006	2006-12	Biwk	2,461.10	Payload	2006-12
2,461.10					
5/08/2006	2006-11	Biwk	2,096.10	Payload	2006-11
2,096.10					
4/24/2006	2006-10	Biwk	2,141.13	Payload	2006-10
2,141.13					
4/10/2006	2006-09	Biwk	2,132.99	Payload	2006-09
2,132.99					
3/27/2006	2006-08	Biwk	2,087.48	Payload	2006-08
2,087.48					
3/13/2006	2006-07	Biwk	2,116.71	Payload	2006-07
2,116.71					
2/27/2006	2006-06	Biwk	2,118.62	Payload	2006-06
2,118.62					
2/13/2006	2006-05	Biwk	2,484.09	Payload	2006-05
2,484.09					
1/30/2006	2006-04	Biwk	2,141.13	Payload	2006-04
2,141.13					
1/16/2006	2006-03	Biwk	2,410.32	Payload	2006-03
2,410.32					
1/02/2006	2006-02	Biwk	2,141.13	Payload	2006-02
2,141.13					
12/19/2005	2006-01	Biwk	2,397.40	Payload	2006-01
2,397.40					
12/05/2005	2005-26	Biwk	2,077.33	Payload	2005-26
2,077.33					
11/21/2005	2005-25	Biwk	2,539.16	Payload	2005-25
2,539.16					
11/07/2005	2005-24	Biwk	2,372.62	Payload	2005-24
2,372.62					
10/24/2005	2005-23	Biwk	2,085.26	Payload	2005-23



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2,085.26					
10/10/2005	2005-22	Biwk	2,061.00	Payload	2005-22
2,061.00					
9/26/2005	2005-21	Biwk	2,085.26	Payload	2005-21
2,085.26					
9/12/2005	2005-20	Biwk	2,063.33	Payload	2005-20
2,063.33					
8/29/2005	2005-19	Biwk	2,419.27	Payload	2005-19
2,419.27					
8/15/2005	2005-18	Biwk	2,079.29	Payload	2005-18
2,079.29					
8/01/2005	2005-17	Biwk	1,986.36	Payload	2005-17
1,986.36					
7/18/2005	2005-16	Biwk	2,052.60	Payload	2005-16
2,052.60					
7/04/2005	2005-15	Biwk	2,347.43	Payload	2005-15
2,347.43					
6/20/2005	2005-14	Biwk	2,135.17	Payload	2005-14
2,135.17					
6/06/2005	2005-13	Biwk	2,085.26	Payload	2005-13
2,085.26					
5/23/2005	2005-12	Biwk	2,396.88	Payload	2005-12
2,396.88					
5/09/2005	2005-11	Biwk	2,085.26	Payload	2005-11
2,085.26					
4/25/2005	2005-10	Biwk	2,063.33	Payload	2005-10
2,063.33					
4/11/2005	2005-09	Biwk	1,962.57	Payload	2005-09
1,962.57					
3/28/2005	2005-08	Biwk	2,201.88	Payload	2005-08
2,201.88					
3/14/2005	2005-07	Biwk	1,921.98	Payload	2005-07
1,921.98					
2/28/2005	2005-06	Biwk	1,928.98	Payload	2005-06
1,928.98					
2/14/2005	2005-05	Biwk	1,945.31	Payload	2005-05
1,945.31					
1/31/2005	2005-04	Biwk	1,935.98	Payload	2005-04
1,935.98					
1/17/2005	2005-03	Biwk	1,959.31	Payload	2005-03
1,959.31					
1/03/2005	2005-02	Biwk	1,900.99	Payload	2005-02
1,900.99					
12/20/2004	2005-01	Biwk	2,302.18	Payload	2005-01
2,302.18					
12/06/2004	2004-27	Biwk	1,875.63	Payload	2004-27
1,875.63					
11/22/2004	2004-26	Biwk	2,367.30	Payload	2004-26
2,367.30					
11/08/2004	2004-25	Biwk	2,155.61	Payload	2004-25
2,155.61					
10/25/2004	2004-24	Biwk	1,868.80	Payload	2004-24
1,868.80					
10/11/2004	2004-23	Biwk	1,889.29	Payload	2004-23
1,889.29					
9/27/2004	2004-22	Biwk	1,875.63	Payload	2004-22
1,875.63					
9/13/2004	2004-21	Biwk	1,889.29	Payload	2004-21
1,889.29					
8/30/2004	2004-20	Biwk	2,141.95	Payload	2004-20
2,141.95					
7/05/2004	2004-16	Biwk	1,882.46	Payload	2004-16
1,882.46					

			Member audit trail.txt		
6/21/2004	2004-15	Biwk	2,037.24	Payload	2004-15
2,037.24					
6/07/2004	2004-14	Biwk	1,882.46	Payload	2004-14
1,882.46					
5/24/2004	2004-13	Biwk	2,185.20	Payload	2004-13
2,185.20					
5/10/2004	2004-12	Biwk	1,889.29	Payload	2004-12
1,889.29					
4/26/2004	2004-11	Biwk	1,875.63	Payload	2004-11
1,875.63					
4/12/2004	2004-10	Biwk	1,825.60	Payload	2004-10
1,825.60					
3/29/2004	2004-09	Biwk	2,114.56	Payload	2004-09
2,114.56					
3/01/2004	2004-07	Biwk	1,859.20	Payload	2004-07
1,859.20					
2/16/2004	2004-06	Biwk	2,666.80	Payload	2004-06
2,666.80					
2/02/2004	2004-05	Biwk	1,852.48	Payload	2004-05
1,852.48					
1/19/2004	2004-04	Biwk	2,116.80	Payload	2004-04
2,116.80					
1/05/2004	2004-03	Biwk	1,886.08	Payload	2004-03
1,886.08					
12/22/2003	2004-02	Biwk	1,792.00	Payload	2004-02
1,792.00					
12/08/2003	2004-01	Biwk	1,852.48	Payload	2004-01
1,852.48					
11/24/2003	2003-26	Biwk	2,390.08	Payload	2003-26
2,390.08					
11/10/2003	2003-25	Biwk	1,845.76	Payload	2003-25
1,845.76					
10/27/2003	2003-24	Biwk	1,832.32	Payload	2003-24
1,832.32					
10/13/2003	2003-23	Biwk	1,859.20	Payload	2003-23
1,859.20					
9/29/2003	2003-22	Biwk	1,852.48	Payload	2003-22
1,852.48					
9/15/2003	2003-21	Biwk	1,845.76	Payload	2003-21
1,845.76					
9/01/2003	2003-20	Biwk	1,868.16	Payload	2003-20
1,868.16					
8/18/2003	2003-19	Biwk	1,839.04	Payload	2003-19
1,839.04					
8/04/2003	2003-18	Biwk	1,845.76	Payload	2003-18
1,845.76					
7/07/2003	2003-16	Biwk	1,825.60	Payload	2003-16
1,825.60					
6/23/2003	2003-15	Biwk	2,094.40	Payload	2003-15
2,094.40					
6/09/2003	2003-14	Biwk	1,859.20	Payload	2003-14
1,859.20					
5/26/2003	2003-13	Biwk	2,094.40	Payload	2003-13
2,094.40					
5/12/2003	2003-12	Biwk	1,892.80	Payload	2003-12
1,892.80					
4/14/2003	2003-10	Biwk	1,852.48	Payload	2003-10
1,852.48					
3/31/2003	2003-09	Biwk	2,069.76	Payload	2003-09
2,069.76					
3/17/2003	2003-08	Biwk	1,892.80	Payload	2003-08
1,892.80					
3/03/2003	2003-07	Biwk	3,325.60	Payload	2003-07

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3,325.60					
2/17/2003	2003-06	Biwk	2,646.64	Payload	2003-06
2,646.64					
2/03/2003	2003-05	Biwk	1,845.76	Payload	2003-05
1,845.76					
1/20/2003	2003-04	Biwk	2,076.48	Payload	2003-04
2,076.48					
1/06/2003	2003-03	Biwk	1,892.80	Payload	2003-03
1,892.80					
12/23/2002	2003-02	Biwk	2,383.36	Payload	2003-02
2,383.36					
12/09/2002	2003-01	Biwk	1,825.60	Payload	2003-01
1,825.60					
11/25/2002	2002-26	Biwk	2,298.05	Payload	2002-26
2,298.05					
11/11/2002	2002-25	Biwk	1,959.91	Payload	2002-25
1,959.91					
10/28/2002	2002-24	Biwk	1,761.77	Payload	2002-24
1,761.77					
10/14/2002	2002-23	Biwk	1,787.61	Payload	2002-23
1,787.61					
9/30/2002	2002-22	Biwk	1,781.15	Payload	2002-22
1,781.15					
9/16/2002	2002-21	Biwk	1,787.61	Payload	2002-21
1,787.61					
9/02/2002	2002-20	Biwk	1,946.99	Payload	2002-20
1,946.99					
8/19/2002	2002-19	Biwk	1,787.61	Payload	2002-19
1,787.61					
8/05/2002	2002-18	Biwk	1,755.31	Payload	2002-18
1,755.31					
7/22/2002	2002-17	Biwk	1,781.15	Payload	2002-17
1,781.15					
7/08/2002	2002-16	Biwk	1,755.31	Payload	2002-16
1,755.31					
6/24/2002	2002-15	Biwk	2,046.06	Payload	2002-15
2,046.06					
6/10/2002	2002-14	Biwk	1,781.15	Payload	2002-14
1,781.15					
5/27/2002	2002-13	Biwk	1,946.99	Payload	2002-13
1,946.99					
5/13/2002	2002-12	Biwk	1,781.15	Payload	2002-12
1,781.15					
4/29/2002	2002-11	Biwk	1,787.61	Payload	2002-11
1,787.61					
4/15/2002	2002-10	Biwk	1,774.69	Payload	2002-10
1,774.69					
4/01/2002	2002-09	Biwk	1,787.61	Payload	2002-09
1,787.61					
3/18/2002	2002-08	Biwk	1,959.91	Payload	2002-08
1,959.91					
3/04/2002	2002-07	Biwk	1,787.61	Payload	2002-07
1,787.61					
2/18/2002	2002-06	Biwk	1,953.45	Payload	2002-06
1,953.45					
2/04/2002	2002-05	Biwk	2,331.15	Payload	2002-05
2,331.15					
1/21/2002	2002-04	Biwk	1,953.45	Payload	2002-04
1,953.45					
1/07/2002	2002-03	Biwk	1,755.31	Payload	2002-03
1,755.31					
12/24/2001	2002-02	Biwk	2,013.76	Payload	2002-02
2,013.76					

			Member audit trail.txt		
12/10/2001	2002-01 Biwk	2,138.03	Payload		2002-01
2,138.03					
11/26/2001	2001-26 Biwk	1,727.51	Payload		2001-26
1,727.51					
11/12/2001	2001-25 Biwk	1,690.23	Payload		2001-25
1,690.23					
10/29/2001	2001-24 Biwk	1,893.21	Payload		2001-24
1,893.21					
10/15/2001	2001-23 Biwk	1,721.29	Payload		2001-23
1,721.29					
10/01/2001	2001-22 Biwk	1,706.80	Payload		2001-22
1,706.80					
9/17/2001	2001-21 Biwk	1,727.51	Payload		2001-21
1,727.51					
9/03/2001	2001-20 Biwk	1,893.21	Payload		2001-20
1,893.21					
8/20/2001	2001-19 Biwk	1,690.23	Payload		2001-19
1,690.23					
8/06/2001	2001-18 Biwk	1,684.01	Payload		2001-18
1,684.01					
7/23/2001	2001-17 Biwk	1,721.29	Payload		2001-17
1,721.29					
7/09/2001	2001-16 Biwk	1,727.51	Payload		2001-16
1,727.51					
6/25/2001	2001-15 Biwk	1,930.78	Payload		2001-15
1,930.78					
6/11/2001	2001-14 Biwk	1,675.00	Payload		2001-14
1,675.00					
5/28/2001	2001-13 Biwk	1,849.58	Payload		2001-13
1,849.58					
4/30/2001	2001-11 Biwk	1,687.18	Payload		2001-11
1,687.18					
4/16/2001	2001-10 Biwk	1,693.27	Payload		2001-10
1,693.27					
4/02/2001	2001-09 Biwk	1,681.09	Payload		2001-09
1,681.09					
3/19/2001	2001-08 Biwk	1,930.78	Payload		2001-08
1,930.78					
3/05/2001	2001-07 Biwk	1,662.82	Payload		2001-07
1,662.82					
2/19/2001	2001-06 Biwk	1,794.77	Payload		2001-06
1,794.77					
2/05/2001	2001-05 Biwk	1,632.37	Payload		2001-05
1,632.37					
1/22/2001	2001-04 Biwk	1,656.73	Payload		2001-04
1,656.73					
1/08/2001	2001-03 Biwk	1,843.49	Payload		2001-03
1,843.49					
12/25/2000	2001-02 Biwk	2,355.67	Payload		2001-02
2,355.67					
12/11/2000	2001-01 Biwk	1,693.27	Payload		2001-01
1,693.27					
11/27/2000	2000-26 Biwk	1,572.61	Payload		2000-26
1,572.61					
11/13/2000	2000-25 Biwk	2,051.31	Payload		2000-25
2,051.31					
10/30/2000	2000-24 Biwk	1,839.84	Payload		2000-24
1,839.84					
10/16/2000	2000-23 Biwk	1,584.14	Payload		2000-23
1,584.14					
10/02/2000	2000-22 Biwk	1,561.07	Payload		2000-22
1,561.07					
9/18/2000	2000-21 Biwk	1,572.61	Payload		2000-21

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1,572.61					
9/04/2000	2000-20	Biwk	1,705.26	Payload	2000-20
1,705.26					
8/21/2000	2000-19	Biwk	1,578.37	Payload	2000-19
1,578.37					
8/07/2000	2000-18	Biwk	1,584.14	Payload	2000-18
1,584.14					
7/24/2000	2000-17	Biwk	1,589.91	Payload	2000-17
1,589.91					
7/10/2000	2000-16	Biwk	1,595.68	Payload	2000-16
1,595.68					
6/26/2000	2000-15	Biwk	1,561.07	Payload	2000-15
1,561.07					
6/12/2000	2000-14	Biwk	1,571.81	Payload	2000-14
1,571.81					
5/29/2000	2000-13	Biwk	1,723.31	Payload	2000-13
1,723.31					
5/15/2000	2000-12	Biwk	1,566.13	Payload	2000-12
1,566.13					
4/17/2000	2000-10	Biwk	1,571.81	Payload	2000-10
1,571.81					
4/03/2000	2000-09	Biwk	1,484.32	Payload	2000-09
1,484.32					
3/20/2000	2000-08	Biwk	1,500.71	Payload	2000-08
1,500.71					
3/06/2000	2000-07	Biwk	1,511.64	Payload	2000-07
1,511.64					
2/21/2000	2000-06	Biwk	1,651.87	Payload	2000-06
1,651.87					
2/07/2000	2000-05	Biwk	1,511.64	Payload	2000-05
1,511.64					
1/24/2000	2000-04	Biwk	1,484.32	Payload	2000-04
1,484.32					
1/10/2000	2000-03	Biwk	1,633.66	Payload	2000-03
1,633.66					
12/27/1999	2000-02	Biwk	1,713.80	Payload	2000-02
1,713.80					
12/13/1999	2000-01	Biwk	2,230.19	Joy	2000-01
2,230.19					
11/29/1999	1999-26	Biwk	1,478.05	Payload	1999-26
1,478.05					
11/15/1999	1999-25	Biwk	1,919.31	Payload	1999-25
1,919.31					
11/01/1999	1999-24	Biwk	1,698.68	Payload	1999-24
1,698.68					
10/18/1999	1999-23	Biwk	1,461.91	Payload	1999-23
1,461.91					
10/04/1999	1999-22	Biwk	1,488.81	Payload	1999-22
1,488.81					
9/20/1999	1999-21	Biwk	1,478.05	Payload	1999-21
1,478.05					
9/06/1999	1999-20	Biwk	1,632.31	Payload	1999-20
1,632.31					
7/26/1999	1999-17	Biwk	1,488.81	Payload	1999-17
1,488.81					
7/12/1999	1999-16	Biwk	1,483.43	Payload	1999-16
1,483.43					
6/28/1999	1999-15	Biwk	1,626.93	Payload	1999-15
1,626.93					
6/14/1999	1999-14	Biwk	1,461.72	Payload	1999-14
1,461.72					
5/31/1999	1999-13	Biwk	1,555.40	Payload	1999-13
1,555.40					

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5/03/1999	1999-11	Biwk	1,467.03	Payload	1999-11
1,467.03					
4/19/1999	1999-10	Biwk	1,459.96	Payload	1999-10
1,459.96					
4/05/1999	1999-09	Biwk	1,414.00	Payload	1999-09
1,414.00					
3/22/1999	1999-08	Biwk	1,461.72	Payload	1999-08
1,461.72					
2/22/1999	1999-06	Biwk	1,467.03	Payload	1999-06
1,467.03					
2/08/1999	1999-05	Biwk	1,603.12	Payload	1999-05
1,603.12					
1/25/1999	1999-04	Biwk	1,440.51	Payload	1999-04
1,440.51					
1/11/1999	1999-03	Biwk	1,608.43	Payload	1999-03
1,608.43					
12/28/1998	1999-02	Biwk	1,679.13	Payload	1999-02
1,679.13					
12/14/1998	1999-01	Biwk	2,031.54	Payload	1999-01
2,031.54					
11/30/1998	1998-26	Biwk	1,440.01	Payload	1998-26
1,440.01					
11/16/1998	1998-25	Biwk	1,532.30	Payload	1998-25
1,532.30					
9/21/1998	1998-21	Biwk	1,393.00	Payload	1998-21
1,393.00					
9/07/1998	1998-20	Biwk	1,410.41	Payload	1998-20
1,410.41					
8/10/1998	1998-18	Biwk	1,393.00	Payload	1998-18
1,393.00					
7/27/1998	1998-17	Biwk	2,263.63	Payload	1998-17
2,263.63					
7/13/1998	1998-16	Biwk	1,393.00	Payload	1998-16
1,393.00					
6/29/1998	1998-15	Biwk	1,532.30	Payload	1998-15
1,532.30					
6/01/1998	1998-13	Biwk	1,373.00	Payload	1998-13
1,373.00					
5/18/1998	1998-12	Biwk	1,390.16	Payload	1998-12
1,390.16					
12/15/1997	1998-01	Biwk	1,373.00	Convert	1998-01
1,373.00					
6/02/1997	1997-13	Biwk	1,352.00	Convert	1997-13
1,352.00					
12/18/1995	1996-01	Biwk	1,326.00	Convert	1996-01
1,326.00					
9/11/1995	1995-20	Biwk	1,287.00	Convert	1995-20
1,287.00					
8/14/1995	1995-18	Biwk	1,226.00	Convert	1995-18
1,226.00					
9/12/1994	1994-20	Biwk	1,202.00	Convert	1994-20
1,202.00					
12/20/1993	1994-01	Biwk	1,145.00	Convert	1994-01
1,145.00					
9/13/1993	1993-21	Biwk	1,111.00	Convert	1993-21
1,111.00					
7/05/1993	1993-16	Biwk	1,058.00	Convert	1993-16
1,058.00					
9/14/1992	1992-21	Biwk	1,008.00	Convert	1992-21
1,008.00					
7/06/1992	1992-16	Biwk	960.00	Convert	1992-16
960.00					
3/16/1992	1992-08	Biwk	932.00	Convert	1992-08

Member audit trail.txt

932.00					
12/23/1991	1992-02	Biwk	870.00	Convert	1992-02
870.00					
5/13/1991	1991-12	Biwk	845.00	Convert	1991-12
845.00					
12/24/1990	1991-02	Biwk	805.00	Convert	1991-02
805.00					
11/12/1990	1990-25	Biwk	781.00	rose	1990-25
781.00					
10/02/1989	1989-22	Biwk	690.00	NonCounty rose	1989-22
0.00					
7/10/1989	1989-16	Biwk	670.00	NonCounty rose	
2/21/1989	1989-06	Biwk	657.00	NonCounty rose	

Highest Consecutive 1 Year Average Pay Calculation from 11/26/1990 to 2/13/2011:

Interval	Pay Start Date	Pay Period	Freq	Amount	
27	02/08/2010	2010-05	Biwk	187.64	= 0.07143 x \$2,626.88
26	01/25/2010	2010-04	Biwk	2,766.93	
25	01/11/2010	2010-03	Biwk	3,305.62	
24	12/28/2009	2010-02	Biwk	3,079.99	
23	12/14/2009	2010-01	Biwk	2,969.81	
22	11/30/2009	2009-26	Biwk	2,687.43	
21	11/16/2009	2009-25	Biwk	2,884.48	
20	11/02/2009	2009-24	Biwk	3,210.65	
19	10/19/2009	2009-23	Biwk	2,677.80	
18	10/05/2009	2009-22	Biwk	2,687.43	
17	09/21/2009	2009-21	Biwk	2,687.43	
16	09/07/2009	2009-20	Biwk	3,384.48	
15	08/24/2009	2009-19	Biwk	2,651.75	
14	08/10/2009	2009-18	Biwk	2,651.75	
13	07/27/2009	2009-17	Biwk	2,678.36	
12	07/13/2009	2009-16	Biwk	2,687.43	
11	06/29/2009	2009-15	Biwk	2,991.50	
10	06/15/2009	2009-14	Biwk	2,687.43	
9	06/01/2009	2009-13	Biwk	2,651.75	
8	05/18/2009	2009-12	Biwk	3,210.65	
7	05/04/2009	2009-11	Biwk	2,687.43	
6	04/20/2009	2009-10	Biwk	2,687.43	
5	04/06/2009	2009-09	Biwk	2,687.43	
4	03/23/2009	2009-08	Biwk	3,210.65	
3	03/09/2009	2009-07	Biwk	2,616.08	
2	02/23/2009	2009-06	Biwk	2,687.43	
1	02/09/2009	2009-05	Biwk	3,103.63	
Total Annual Salary				\$74,420.39	
Monthly Salary before any adjustment				\$6,201.70	
IRC §401(a)(17) monthly pay limit				\$30,000.00	
Highest Monthly Salary				\$6,201.70	

Benefit Calculation

$$\text{Benefit} = \text{Ret Age Fac} * (\text{Svc} * \text{Sal} - \text{SvcInt} * 116.67)$$

Ret age fac at 55 yrs 0 mos	=	0.026198
Safety Tier I Service	=	20.2166
Safety Tier I Integrated Svc	=	20.2166
Final Monthly Salary (1 yr avg)	=	\$6,201.70
Benefit Safety Tier I	=	\$3,222.84
Supplemental Ret Age Fac	=	0.032748
Supplemental Benefit	=	\$4,028.61

Total General Allowance	=	\$0.00
Total Safety Allowance	=	\$4,028.61

Member audit trail.txt  
Tier I Reg All = 3,222.84  
Tier I Supp All = 805.77  
Tier I Allowance = \$4,028.61  
Tier II Allowance = \$0.00

Contribution Totals

	Basic	COL	Supp Bas	Supp COL	Supp
Er					
Safety Tier I Taxable	\$39,012.34	\$16,465.54	\$5,457.86	\$2,986.49	
\$1.00					
Safety Tier I Interest	\$13,512.49	\$1,678.20	\$379.79	\$151.73	
\$0.28					
Total	\$52,524.83	\$18,143.74	\$5,837.65	\$3,138.22	
\$1.28					

Employee Taxable	Taxation Total	General I	Membership Total	Grand Total
Taxed	\$63,922.23	\$0.00	\$0.00	\$79,644.44
Interest	\$0.00	\$0.00	\$0.00	
	\$15,722.21	\$0.00	\$0.00	
		Safety I	\$79,644.44	
		Safety II	\$0.00	

Er & Ee Taxable	Taxation Total	General I	Membership Total	Grand Total
Taxed	\$63,923.23	\$0.00	\$0.00	\$79,645.72
Interest	\$0.00	\$0.00	\$0.00	
	\$15,722.49	\$0.00	\$0.00	
		Safety I	\$79,645.72	
		Safety II	\$0.00	

Project Contributions to 2/13/2011

Date of last ctb accrual 12/27/2010

Biweeks btw 12/27/2010 and 2/13/2011 3

	Basic	COL	Supp Bas	Supp COL
Safety Tier I Taxable	\$153.07	\$133.19	\$38.19	\$24.94
Saf Tier I Txb Proj Ctbs	\$459.21	\$399.57	\$114.57	\$74.82

Contribution Totals after PROJECTIONS

	Basic	COL	Supp Bas	Supp COL	Supp
Er					
Safety Tier I Taxable	\$39,471.55	\$16,865.11	\$5,572.43	\$3,061.31	
\$1.00					
Safety Tier I Interest	\$13,512.49	\$1,678.20	\$379.79	\$151.73	
\$0.28					
Total	\$52,984.04	\$18,543.31	\$5,952.22	\$3,213.04	
\$1.28					

Employee Taxable	Taxation Total	General I	Membership Total	Grand Total
Taxed	\$64,970.40	\$0.00	\$0.00	\$80,692.61
Interest	\$0.00	\$0.00	\$0.00	
	\$15,722.21	\$0.00	\$0.00	
		Safety I	\$80,692.61	
		Safety II	\$0.00	

Er & Ee Taxable	Taxation Total	General I	Membership Total	Grand Total
Taxed	\$64,971.40	\$0.00	\$0.00	\$80,693.89
Interest	\$0.00	\$0.00	\$0.00	
	\$15,722.49	\$0.00	\$0.00	
		Safety I	\$80,693.89	
		Safety II	\$0.00	

Contrib Information for the Annual Benefit Statement

Employee Contrib

Employer



	Bas	COL	SBa	SCo	Contrib
For deduct 01/11/2010		\$359.64	\$1,394.64		
For deduct 01/25/2010		\$300.06	\$1,167.37		
For deduct 02/08/2010		\$284.57	\$1,108.28		
For deduct 02/22/2010		\$281.61	\$1,097.04		
For deduct 03/08/2010		\$281.61	\$1,097.04		
For deduct 03/22/2010		\$280.70	\$1,093.53		
For deduct 04/05/2010		\$258.39	\$1,008.49		
For deduct 04/19/2010		\$285.49	\$1,111.80		
For deduct 05/03/2010		\$281.61	\$1,097.04		
For deduct 05/17/2010		\$285.49	\$1,111.80		
For deduct 05/31/2010		\$285.49	\$1,111.80		
For deduct 06/14/2010		\$285.49	\$1,111.80		
For deduct 06/28/2010		\$339.03	\$1,477.33		
For deduct 07/12/2010		\$296.26	\$1,294.11		
For deduct 07/26/2010		\$284.05	\$1,241.89		
For deduct 08/09/2010		\$300.32	\$1,311.52		
For deduct 08/23/2010		\$300.32	\$1,311.52		
For deduct 09/06/2010		\$390.32	\$1,696.92		
For deduct 09/20/2010		\$300.32	\$1,311.52		
For deduct 10/04/2010		\$300.32	\$1,311.52		
For deduct 10/18/2010		\$300.32	\$1,311.52		
For deduct 11/01/2010		\$359.95	\$1,566.87		
For deduct 11/15/2010		\$322.77	\$1,407.69		
For deduct 11/29/2010		\$296.26	\$1,294.11		
For deduct 12/13/2010		\$349.39	\$1,105.37		
For deduct 12/27/2010		\$349.39	\$1,521.67		
2010 total		\$7,959.17	\$32,674.19		
Deduct as of 02/13/2011		\$349.39			

#### Actuarial Assumptions used

Basic Interest Rate = 8.00%  
 Basic COLA Rate = 3.00%  
 Member mortality, setback = rpBlm5F1, -2  
 Benef mortality, setback = rpwhm1F5, 0

#### Actuarial Factors for Retirement

facSLA = 130.018867  
 facAdjSocSec = 0.508702  
 facMCR = 132.456624  
 facJS100 = 152.470342  
 facJS50 = 141.244605

#### Reserve Factors

facSLACola = 175.464878  
 facJS60 = None  
 facJS60Cola = None

#### Unmodified Form Benefits for Retirement

	Annuity	Pension	Supplement	Allowance	Spouse/Minor
Child					
Tier I	\$407.51	\$2,815.33	\$805.77	\$4,028.61	\$0.00
TAO before 62	\$461.95	\$3,191.45	\$913.42	\$4,566.82	\$0.00
TAO after 62	\$354.93	\$2,452.08	\$701.81	\$3,508.82	\$0.00
Total	\$407.51	\$2,815.33	\$805.77	\$4,028.61	\$0.00
TAO before 62	\$461.95	\$3,191.45	\$913.42	\$4,566.82	\$0.00
TAO after 62	\$354.93	\$2,452.08	\$701.81	\$3,508.82	\$0.00

#### Option 1 Benefits for Retirement

	Annuity	Pension	Supplement	Allowance
Tier I	\$400.01	\$2,815.33	\$805.77	\$4,021.11
TAO before 62	\$400.01	\$3,233.78	\$925.53	\$4,559.32
TAO after 62	\$400.01	\$2,411.20	\$690.11	\$3,501.32
Total	\$400.01	\$2,815.33	\$805.77	\$4,021.11

		Member audit trail.txt		
TAO before 62	\$400.01	\$3,233.78	\$925.53	\$4,559.32
TAO after 62	\$400.01	\$2,411.20	\$690.11	\$3,501.32

Option 2 (JS100) Benefits for Retirement

	Annuity	Pension	Supplement	Allowance	Beneficiary
Tier I	\$347.50	\$2,400.77	\$687.12	\$3,435.39	\$3,435.39
TAO before 62	\$401.94	\$2,776.89	\$794.77	\$3,973.60	\$3,435.39
TAO after 62	\$294.92	\$2,037.52	\$583.16	\$2,915.60	\$3,435.39
Total	\$347.50	\$2,400.77	\$687.12	\$3,435.39	\$3,435.39
TAO before 62	\$401.94	\$2,776.89	\$794.77	\$3,973.60	\$3,435.39
TAO after 62	\$294.92	\$2,037.52	\$583.16	\$2,915.60	\$3,435.39

Option 3 (JS50) Benefits for Retirement

	Annuity	Pension	Supplement	Allowance	Beneficiary
Tier I	\$375.12	\$2,591.58	\$741.73	\$3,708.43	\$1,854.22
TAO before 62	\$429.56	\$2,967.70	\$849.38	\$4,246.64	\$1,854.22
TAO after 62	\$322.54	\$2,228.33	\$637.77	\$3,188.64	\$1,854.22
Total	\$375.12	\$2,591.58	\$741.73	\$3,708.43	\$1,854.22
TAO before 62	\$429.56	\$2,967.70	\$849.38	\$4,246.64	\$1,854.22
TAO after 62	\$322.54	\$2,228.33	\$637.77	\$3,188.64	\$1,854.22

Reserves

	Annuity	Pension	Total	Total with Spouse/Minor
Child				
Tier I				
Basic	\$52,984.04	\$366,045.97	\$419,030.01	\$0.00
COL	18,543.31	127,921.91	146,465.22	0.00
SuppBas	5,952.22	98,813.08	104,765.30	0.00
SuppCOL	3,213.04	33,405.99	36,619.03	0.00
Total	\$80,692.61	\$626,186.95	\$706,879.56	\$0.00
Total				
Basic	\$52,984.04	\$366,045.97	\$419,030.01	\$0.00
COL	18,543.31	127,921.91	146,465.22	0.00
SuppBas	5,952.22	98,813.08	104,765.30	0.00
SuppCOL	3,213.04	33,405.99	36,619.03	0.00
Total	\$80,692.61	\$626,186.95	\$706,879.56	\$0.00

Health Benefits

Date of Hire	=	11/12/1990
a. Elig Service	=	20.2166
b. Recip Service	=	0.0000
c. Annual Leave Service	=	0.0000
Health Ben Service a.-b.+c.	=	20.2166
Health Benefit	=	\$60.00
Health Benefit2	=	\$100.00

Proration Factor from 2/14/2011 to the end of the month

Days Remaining in Ben Comm Month	=	15
Total Days in Ben Comm Month	=	28
Proration Factor	=	0.5357



FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION  
Roberto L. Peña, Retirement Administrator  
1111 H Street  
Fresno, California 93721  
Phone (559) 457-0681  
Fax (559) 457-0318

## AUTHORIZATION FOR RELEASE OF INFORMATION

TO: \_\_\_\_\_

I, \_\_\_\_\_, have membership in the Retirement System of Fresno County in accordance with the County Employees Retirement Law of 1937 and the bylaws and regulations governing the Retirement System.

I hereby authorize and request the disclosure of any and all personnel, employer or any other records, concerning myself, hereafter referred to as applicant, including but not limited to, the application for employment, essential functions inventory form, job description, medical questionnaires, information regarding injuries or illnesses reported either on the job for Worker's Compensation or off the job, evaluations, reprimands and any commendations, the exact circumstances of my termination of employment, if any, and any sub rosa and investigation reports, from any and all persons having knowledge of pertinent facts, or facts which may lead to pertinent facts relating to my disability application to Fresno County Employees' Retirement Association or its agents. This information is to be used for purposes of the adjudication of my application for disability retirement from Fresno County, and any subsequent medical examination requested by the Board of Retirement in accordance with Government Code Section 31729. This authorization shall remain valid until the date of final determination on my application for retirement, except as authorized in Government Code Section 31729.

I understand that I have a right to receive a copy of this authorization upon request. A copy of this authorization shall be deemed as valid as the original.

\_\_\_\_\_  
Signature of Witness

\_\_\_\_\_  
Signature of Applicant

Dated: \_\_\_\_\_  
\_\_\_\_\_

CERTIFIED to be a true and correct copy of the original Authorization for Release of Information on file with the Board of Retirement, County of Fresno.

\_\_\_\_\_  
Retirement Officer

\_\_\_\_\_  
Date Signed

Fresno County Employees' Retirement Association

REQUEST FOR SERVICE CREDIT CALCULATION

Date: \_\_\_\_\_

Current Department: \_\_\_\_\_

Fresno County Employees' Retirement Association  
1111 H Street  
Fresno, California 93721

OR

Stop 40

I am requesting a calculation of the amount to purchase additional service credit for:

	<u>Approximate Date</u>
<input type="checkbox"/> Redeposit of Contributions Withdrawn on:	_____
<input type="checkbox"/> Medical Leave of Absence	_____
<input type="checkbox"/> Service Prior to Membership	_____
<input type="checkbox"/> Military Leave of Absence while employed by Fresno County	_____
(Will this time be used as a basis for a Military Service Retirement?)      Yes <input type="checkbox"/>	
	No <input type="checkbox"/>
<input type="checkbox"/> Other - explain: _____	
	_____

<input type="checkbox"/> Prior Names: _____	Date: _____
_____	_____
_____	_____

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Social Security Number: \_\_\_\_\_

Daytime Telephone No.: \_\_\_\_\_

«Date»

«FirstName» «LastName»

«Address»

«CityStateZip»

Dear «Title». «LastName»:

Per your request, we are sending verification of your retirement benefits from the Fresno County Employees' Retirement Association. According to our records, you started receiving a monthly benefit on «Date2». You currently receive a gross monthly pension in the amount of \$«Amount». Each year a maximum three percent cost-of-living may be granted subject to approval by the Board of Retirement. You will continue to receive your monthly pension until your death.

If you have any questions regarding this matter, please contact «Contact1» or «Contact2» of our office at (559) 457-0681.

Sincerely,

«Contact1»

«Title2»

:



Roberto L. Peña  
Retirement Administrator

FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION  
BOARD OF RETIREMENT

Eulalio Gomez, Chair  
James E. Hackett, Vice Chair  
Michael Cardenas  
Nick Cornacchia  
Franz Criego  
Vicki Crow  
Steven J. Jolly  
Phil Larson  
John P. Souza  
Ronald S. Frye, Alternate

DD  
9/23/10

September 23, 2010

Dear [REDACTED]:

We are providing you with this retirement packet that consists of: This letter confirming your retirement status and tax information, your Statement of Pension Plan Information and your Election of Retirement Allowance form. Please note that your monthly retirement allowance was calculated in compliance with the court decision holding that a "year" must be defined as 365 consecutive calendar days for the purpose of calculating final compensation. **Please retain this letter and your copy of the option form for income tax and Social Security purposes.**

The following information may assist in determining the taxable portion of your retirement benefit, as well as verify your retirement to the Social Security Administration:

Date of Retirement	October 30, 2010
Type of Retirement	Service Retirement
Taxed Contributions	\$ 6,485.79
Taxable Contributions and Interest	\$35,399.48

Your pension from the Retirement Association is subject to Federal income taxes and is subject to California State income taxes if you are a resident of the State of California. Enclosed please find a Federal Tax Withholding form W-4P and a State Tax Withholding form DE 4P for your convenience. You must complete and return both forms to our office, even if you are not a resident of California or choose not to have taxes withheld from your monthly pension. You may change or cancel your withholding at any time by filing new withholding forms with our office. The taxable portion of your retirement benefit will be calculated by FCERA. This calculation will be based on the Internal Revenue Service regulations and on information you have provided.

The amount of your retirement allowance depends upon the option you choose on the enclosed Election of Retirement Allowance form(s). You should choose the option that best suits your particular needs by signing that option on the line marked "Signature of Member." Someone other than your named beneficiary must witness your signature.

September 23, 2010

Page 2

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Should you elect "Option 1", your eligible spouse or registered domestic partner must complete and sign the enclosed Retirement Benefits Wavier form. This waiver is to inform the eligible spouse or registered domestic partner that they will be giving up a lifetime benefit if you choose Option 1. Their signature on the Waiver indicates they agree and consent to your decision to select Option 1 and acknowledges that they have freely chosen to relinquish all rights to receiving any continuing benefit from FCERA after your death. The signed notarized Waiver must be returned with your signed Option form.

Please return the signed original Option form and retain a copy for your records. You must return the signed Option form to the Retirement Office no later than the first of the month in order to be processed for payroll in that month. Pension checks are distributed the last working day of every month.

I wish you a long and happy retirement. If you have any questions regarding this matter, please contact Diane Didulo or Kristi A. Jacobie of our office at (559) 457-0681.

Sincerely,



Diane Didulo  
Retirement Coordinator

Enclosures

RetOption.doc

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION**  
**Statement of Pension Plan Information for:**



In calculating your benefit, we used the information below. Please review your personal data carefully. **If any of the information is incorrect, please contact the Fresno County Employees' Retirement Association to request verification and/or correction. If there are any changes, you will receive a corrected statement and Option form for your signature.**

**Personal Data**

Your pension benefit is based on the following data. Please review this information carefully.

Social Security number:	
Marital Status:	Married
Type of Member:	General Tier I
Birth Date:	
Retirement entry date:	July 13, 1998
Retirement date:	October 30, 2010
Final Average Salary:	\$ 3,819.46
Total Years of Service:	19.3890
includes additional service credit	Yes
Early Retirement Option:	No
Reciprocity Established:	No

**Service Credit that may be purchased prior to your date of retirement:**

All available time purchased

If you wish to purchase the above service credit, you must do so before your date of retirement. Please contact the Retirement Office at (559) 457-0681.



**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION**  
Election of Retirement Allowance

Date: September 23, 2010  
To: The Board of Retirement  
From: [REDACTED]

Monthly Retirement Allowance Election amounts are based on a retirement date of October 30, 2010.

Please select your retirement option by initialing the box next to the option you desire.

Initial ONE BOX to Select Option	Final Average Compensation: \$3,819.46 Years of Service: 19.3890 <b>Retirement Allowance Election</b>	Your Monthly Benefit	Beneficiary's Monthly Benefit
<input type="checkbox"/>  <b>Unmodified With Continuance</b>	<p><b>Unmodified</b> - This option provides the maximum monthly allowance to you for your lifetime with 60% of the allowance continued after your death to your spouse in accordance with Section 31760.1 or 31786 of the 1937 Retirement Law. To qualify for this continuance, your spouse must be designated as your beneficiary and you must have been married to your spouse for at least one year prior to the date of your retirement.</p> <p>If, at your death there is no one qualified for this continuance, your newly designated beneficiary will receive your accumulated contributions of \$41,885.27 less the sum of the actual monthly retirement allowance payments received by you.</p> <p>This election is final.</p>	\$1,435.51	\$861.31
<input type="checkbox"/>  <b>Option 1</b>	<p><b>Option 1</b> - This option provides for a slightly reduced monthly retirement allowance, payable throughout your life, with the provision that your accumulated contributions of \$41,885.27 less the sum of the actual monthly annuity payments received by you will be paid upon your death to your beneficiary.</p> <p><b>If this option is selected, your spouse or registered domestic partner must complete and sign the enclosed Retirement Benefits Waiver. The notarized Waiver must be returned with the signed Option form.</b></p> <p>This election is final. If the beneficiary named below dies before you, a new beneficiary may be designated.</p>	\$1,433.53	

<input type="checkbox"/> <b>Option 2</b>	<b>Option 2</b> - This option provides for a monthly retirement allowance to you for your lifetime with 100% of the allowance continued after your death to your spouse or beneficiary for their lifetime.  This election is final. If your spouse or beneficiary named below dies before you, a new beneficiary may NOT be designated and the allowance under this option will be continued only through your life.	\$1,354.02	\$1,354.02
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In accordance with the provisions of the 'County Employees' Retirement Act of 1937' providing for the election of a modified retirement allowance, I hereby elect that my allowance be paid under the conditions indicated by my signature below and I hereby designate as my *beneficiary*:

<i>Name</i>	<i>SSN</i>	<i>Relationship</i>	<i>Birth Date</i>
████████████████████		Eligible Spouse	

\_\_\_\_\_  
Signature of Member

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Witness  
(must be someone other than the above named beneficiary)

\_\_\_\_\_  
Date

ElectionForm.doc

Prepared by: Diane Didulo

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION**  
**TABLE OF CHANGES IN PLAN NET ASSETS**  
**Fiscal Years Ended 2001 through 2010**  
(Amounts expressed in thousands)

	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
<b>Additions</b>										
Employer Contributions	\$ -	\$ 7,780	\$ 33,583	\$ 442,950 <sup>1</sup>	\$ 56,343	\$ 56,664	\$ 69,997	\$ 97,305	\$ 113,959	\$ 126,138
Member Contributions	9,973	14,434	19,974	18,239	24,261	30,570	33,528	30,272	34,562	32,209
Net Investment Income/Loss	(33,930)	(63,285)	27,390 <sup>3</sup>	238,877	235,406	229,767	442,355	(186,911)	(451,499)	341,439
<b>Total Additions</b>	<b>(23,957)</b>	<b>(41,071)</b>	<b>80,947 <sup>3</sup></b>	<b>700,066</b>	<b>316,010</b>	<b>317,001</b>	<b>545,880</b>	<b>(59,334)</b>	<b>(302,978)</b>	<b>499,786</b>
<b>Deductions <sup>2</sup></b>										
Total Benefit Expense	63,881	81,784	92,887	107,052	115,129	120,993	131,480	143,072	155,783	169,526
Administrative Expense	2,235	1,544	2,059	2,001	2,484	2,865	3,298	3,569	3,855	3,570
Refunds	1,146	870	904	941	1,403	1,185	2,114	6,072	2,077	1,915
<b>Total Deductions</b>	<b>67,262</b>	<b>84,198</b>	<b>95,850</b>	<b>109,994</b>	<b>119,016</b>	<b>125,043</b>	<b>136,892</b>	<b>152,713</b>	<b>161,715</b>	<b>175,011</b>
<b>Change in Plan Net Assets</b>	<b>\$ (91,219)</b>	<b>\$ (125,269)</b>	<b>\$ (14,903)</b>	<b>\$ 590,072</b>	<b>\$ 196,994</b>	<b>\$ 191,958</b>	<b>\$ 408,988</b>	<b>\$ (212,047)</b>	<b>\$ (464,693)</b>	<b>\$ 324,775</b>

<sup>1</sup> Includes proceeds from Pension Obligation Bonds.

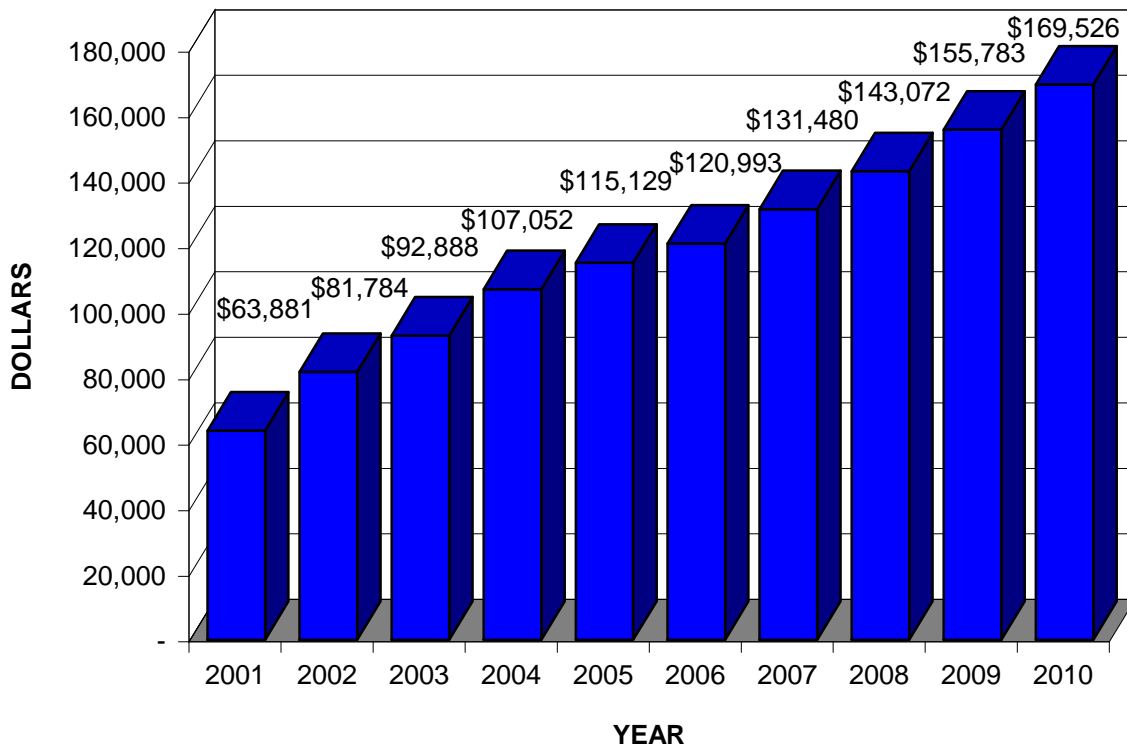
<sup>2</sup> See page 91 for detailed information on Benefit and Refund deductions by type.

<sup>3</sup> Amounts revised from prior year (2003) Comprehensive Annual Financial Report.

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION**  
**SCHEDULE OF BENEFIT EXPENSES BY TYPE**  
(Amounts expressed in thousands)

YEAR END	SERVICE		SURVIVOR		DISABILITIES		TOTAL <sup>1</sup>
	GENERAL	SAFETY	GENERAL	SAFETY	GENERAL	SAFETY	
2001	\$ 52,480	\$ 10,529		\$ 872			\$ 63,881
2002	65,113	15,378		1,293			81,784
2003	72,875	18,710		1,303			92,888
2004	83,795	22,012		1,245			107,052
2005	90,517	23,233		1,379			115,129
2006	96,590	23,148		1,255			120,993
2007	100,807	20,542	\$ 1,369	446	\$ 3,952 <sup>2</sup>	\$ 4,364 <sup>2</sup>	131,480
2008	110,819	21,074	1,312	459	4,489	4,919	143,072
2009	120,975	23,014	1,398	470	4,771	5,155	155,783
2010	131,465	24,758	1,392	536	5,015	6,360	169,526

**BENEFIT EXPENSES**

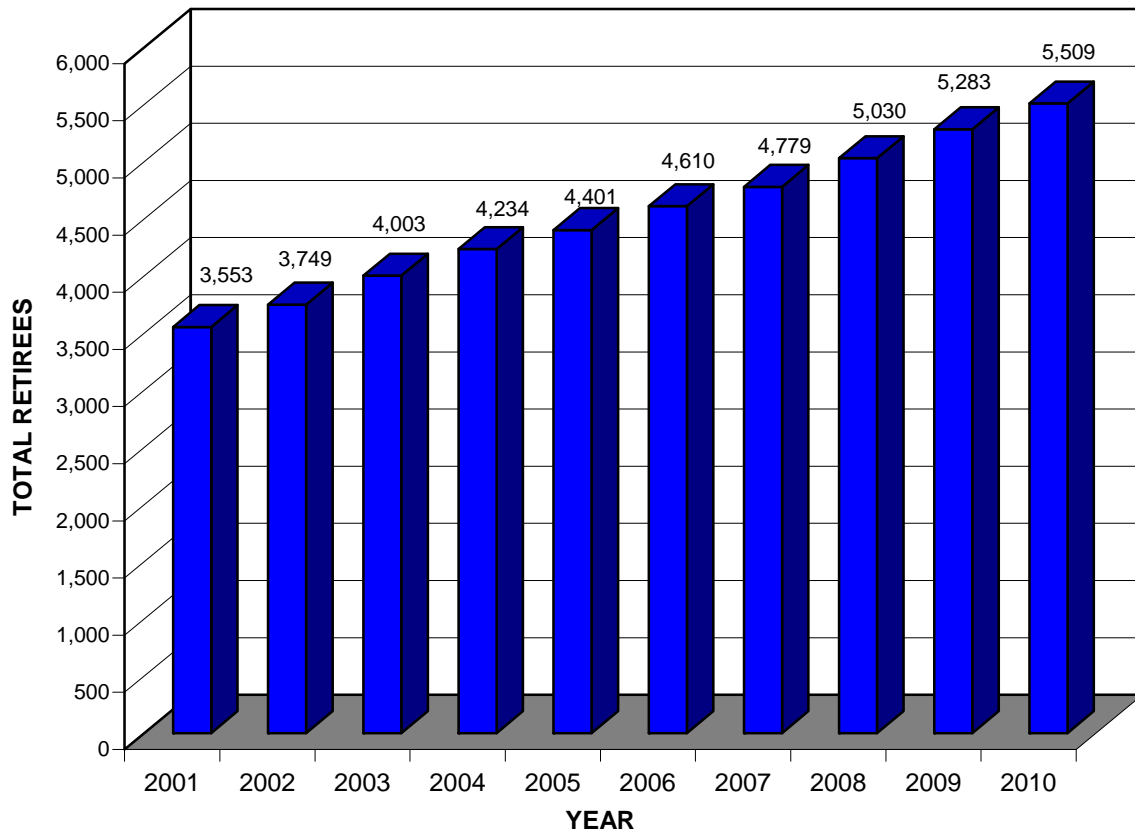


<sup>1</sup> Total Benefit Expenses are the actual expenses paid and will not equal Total Average Annual Benefits reported on page 84.

<sup>2</sup> Effective fiscal year ended June 30, 2007, Disability Benefit Expenses are reported separately from Service Retirement Benefit Expenses.

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION  
SCHEDULE OF RETIRED MEMBERS BY TYPE OF RETIREMENT**

<b>YEAR END</b>	<b>GENERAL</b>	<b>SAFETY</b>	<b>SURVIVOR</b>	<b>TOTAL</b>
2001	3,089	390	74	3,553
2002	3,235	435	79	3,749
2003	3,435	488	80	4,003
2004	3,635	516	83	4,234
2005	3,770	543	88	4,401
2006	3,956	565	89	4,610
2007	4,094	591	94	4,779
2008	4,303	631	96	5,030
2009	4,519	663	101	5,283
2010	4,705	702	102	5,509



**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION**  
**SCHEDULE OF AVERAGE ANNUAL BENEFIT AND MEMBERSHIP DISTRIBUTION OF RETIRED**  
**MEMBERS**

Valuation Date <sup>5</sup>	Plan type	Annual <sup>4</sup> Number	Total Average <sup>3</sup> Annual Benefits	Annual Average Benefits	Average Monthly Benefits	% Change in Average Benefits
6/30/2002 <sup>1</sup>	General	3,287	\$ 66,423,696	\$ 20,208	\$ 1,684.00	51.5%
	Safety	426	16,261,272	38,172	3,181.00	66.1%
	Total	<u>3,713</u>	<u>\$ 82,684,968</u>	<u>\$ 58,380</u>	<u>\$ 4,865.00</u>	60.8%
6/30/2003 <sup>2</sup>	General	3,549	\$ 76,488,048	\$ 21,552	\$ 1,796.00	6.7%
	Safety	476	17,638,656	37,056	3,088.00	-2.9%
	Total	<u>4,025</u>	<u>\$ 94,126,704</u>	<u>\$ 58,608</u>	<u>\$ 4,884.00</u>	0.4%
6/30/2004	General	3,848	\$ 87,041,760	\$ 22,620	\$ 1,885.00	5.0%
	Safety	483	21,677,040	44,880	3,740.00	21.1%
	Total	<u>4,331</u>	<u>\$ 108,718,800</u>	<u>\$ 67,500</u>	<u>\$ 5,625.00</u>	15.2%
6/30/2005	General	3,929	\$ 91,278,528	\$ 23,232	\$ 1,936.00	2.7%
	Safety	489	19,182,492	39,228	3,269.00	-12.6%
	Total	<u>4,418</u>	<u>\$ 110,461,020</u>	<u>\$ 62,460</u>	<u>\$ 5,205.00</u>	-7.5%
6/30/2006	General	4,020	\$ 97,474,788	\$ 24,247	\$ 2,021.00	4.4%
	Safety	559	21,225,900	37,971	3,164.00	-3.2%
	Total	<u>4,579</u>	<u>\$ 118,700,688</u>	<u>\$ 62,218</u>	<u>\$ 5,185.00</u>	-0.4%
6/30/2007	General Tier 1	4,224	\$ 106,296,432	\$ 25,165	\$ 2,097.00	3.8%
	General Tier 2	2	69,984	34,992	2,916.00	N/A
	Safety Tier 1	605	23,674,392	39,131	3,261.00	3.1%
	Total	<u>4,831</u>	<u>\$ 130,040,808</u>	<u>\$ 99,288</u>	<u>\$ 8,274.00</u>	59.6%
6/30/2008	General Tier 1	4,405	\$ 116,801,232	\$ 26,516	\$ 2,210.00	5.4%
	General Tier 2	2	72,600	36,300	3,025.00	3.7%
	Safety Tier 1	639	26,198,856	41,000	3,417.00	4.8%
	Total	<u>5,046</u>	<u>\$ 143,072,688</u>	<u>\$ 103,816</u>	<u>\$ 8,652.00</u>	4.6%
6/30/2009	General Tier 1	4,481	\$ 128,267,304	\$ 28,625	\$ 2,385.39	8.0%
	General Tier 2	-	-	-	-	N/A
	Safety Tier 1	672	28,448,568	42,334	3,527.85	3.3%
	Total	<u>5,153</u>	<u>\$ 156,715,872</u>	<u>\$ 70,959</u>	<u>\$ 5,913</u>	-31.6%

<sup>1</sup> Source: Biennial actuary reports through June 30, 2002.

<sup>2</sup> Source: Annual actuary reports commencing after June 30, 2002.

<sup>3</sup> Total Average Annual Benefits will not equal the Actual Total Benefit Expense reported on page 82.

<sup>4</sup> Total Annual Membership provided by the Actuary will not equal the Actual Membership reported on page 83.

<sup>5</sup> FCERA will display nine years of valuation data at June 30, 2010 rather than display ten years due to Biennial Actuary reporting prior to June 30, 2003.

Note: See page 83 for information organized by years of credited service in five year increments.

Note: Effective with fiscal year ended June 30, 2007 the schedule has been expanded to display membership by benefit tier.

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION**  
**SCHEDULE OF AVERAGE BENEFIT PAYMENTS BY YEARS OF CREDITED SERVICE**

Retirement Effective Date	Years of Credited Service						
	<u>0-4</u>	<u>5-9</u>	<u>10-14</u>	<u>15-19</u>	<u>20-24</u>	<u>25-29</u>	<u>30 and over</u>
Period 7/1/2008 to 6/30/2009							
Average monthly benefit	\$539	\$1,116	\$1,772	\$2,643	\$3,746	\$4,489	\$5,937
Average Final Average Salary	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Number of retired members	11	51	75	59	50	34	54
Period 7/1/2007 to 6/30/2008							
Average monthly benefit	\$502	\$1,365	\$1,865	\$2,668	\$3,280	\$4,657	\$6,170
Average Final Average Salary	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Number of retired members	15	27	52	62	42	41	54
Period 7/1/2006 to 6/30/2007							
Average monthly benefit	\$332	\$967	\$1,525	\$2,235	\$2,642	\$4,266	\$5,325
Average Final Average Salary	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Number of retired members	7	26	58	47	33	33	51
Period 7/1/2005 to 6/30/2006							
Average monthly benefit	\$474	\$846	\$1,754	\$2,531	\$2,518	\$4,146	\$4,841
Average Final Average Salary	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Number of retired members	10	34	59	65	31	28	40
Period 7/1/2004 to 6/30/2005							
Average monthly benefit	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Average Final Average Salary	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Number of retired members	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Period 7/1/2003 to 6/30/2004							
Average monthly benefit	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Average Final Average Salary	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Number of retired members	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Period 7/1/2002 to 6/30/2003							
Average monthly benefit	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Average Final Average Salary	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Number of retired members	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Period 7/1/2001 to 6/30/2002							
Average monthly benefit	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Average Final Average Salary	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Number of retired members	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Period 7/1/2000 to 6/30/2001							
Average monthly benefit	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Average Final Average Salary	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Number of retired members	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Period 7/1/1999 to 6/30/2000							
Average monthly benefit	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Average Final Average Salary	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Number of retired members	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Note: N/A means that information is not available.

Note: Data for average monthly benefit, final average salary, and number of retired members will be available for years beginning July 1, 2005.

Source: Information provided by The Segal Company.

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION  
SCHEDULE OF ACTIVE AND DEFERRED MEMBERS**

<b>Date</b>	<b>Plan Type</b>	<b>Active Vested</b>	<b>Active Nonvested</b>	<b>Total Active Members</b>	<b>Deferred Members</b>
6/30/2001	General	3,466	3,083	6,549	
	Safety	641	301	942	
	Total	<u>4,107</u>	<u>3,384</u>	<u>7,491</u>	<u>1,353</u>
6/30/2002	General	3,566	3,299	6,865	
	Safety	630	293	923	
	Total	<u>4,196</u>	<u>3,592</u>	<u>7,788</u>	<u>1,467</u>
6/30/2003	General	3,600	3,054	6,654	
	Safety	605	328	933	
	Total	<u>4,205</u>	<u>3,382</u>	<u>7,587</u>	<u>1,376</u>
6/30/2004	General	3,385	3,242	6,627	
	Safety	581	345	926	
	Total	<u>3,966</u>	<u>3,587</u>	<u>7,553</u>	<u>1,378</u>
6/30/2005	General	4,203	2,537	6,740	
	Safety	664	303	967	
	Total	<u>4,867</u>	<u>2,840</u>	<u>7,707</u>	<u>1,464</u>
6/30/2006	General	4,535	2,144	6,679	
	Safety	710	287	997	
	Total	<u>5,245</u>	<u>2,431</u>	<u>7,676</u>	<u>1,514</u>
6/30/2007	General	4,707	2,108	6,815	1,465
	Safety	723	284	1,007	133
	Total	<u>5,430</u>	<u>2,392</u>	<u>7,822</u>	<u>1,598</u>
6/30/2008	General	4,596	2,133	6,729	1,466
	Safety	725	232	957	139
	Total	<u>5,321</u>	<u>2,365</u>	<u>7,686</u>	<u>1,605</u>
6/30/2009	General	4,476	1,967	6,443	1,403
	Safety	718	204	922	130
	Total	<u>5,194</u>	<u>2,171</u>	<u>7,365</u>	<u>1,533</u>
6/30/2010	General	4,536	1,568	6,104	1,379
	Safety	733	79	812	136
	Total	<u>5,269</u>	<u>1,647</u>	<u>6,916</u>	<u>1,515</u>

Note: Effective with fiscal year ended June 30, 2007, Deferred Members column is classified between General and Safety.



**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION**  
**SCHEDULE OF PRINCIPAL PARTICIPATING EMPLOYERS**  
**Current Year and Nine Years Ago**

	<u>2010</u>			<u>2001</u>		
<u>Participating Employers</u>	<u>Covered Employees</u>	<u>Rank</u>	<u>Percent of Total System</u>	<u>Covered Employees</u>	<u>Rank</u>	<u>Percent of Total System</u>
County of Fresno	6,871	1	99.35%	7,396	1	98.74%
Fresno-Madera Area Agency on Aging	31	2	0.45%	34	3	0.46%
Clovis Veterans Memorial District	8	3	0.11%	4	5	0.05%
Fresno Mosquito and Vector Control	6	4	0.09%	10	4	0.13%
Fresno County Office of Education	-	-	0.00%	1	6	0.01%
North Central Fire Protection District	-	-	0.00%	46	2	0.61%
Total	<u>6,916</u>		<u>100.00%</u>	<u>7,491</u>		<u>100.00%</u>

Note: See page 88 Schedule of Participating Employers and Active Members for covered employees from 2001 through 2010.

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION  
SCHEDULE OF PARTICIPATING EMPLOYERS AND ACTIVE MEMBERS**

	<u>2010</u>	<u>2009</u>	<u>2008</u>	<u>2007</u>	<u>2006</u>	<u>2005</u>	<u>2004</u>	<u>2003</u>	<u>2002</u>	<u>2001</u>
<b>County of Fresno</b>										
General Members	6,059	6,395	6,681	6,762	6,623	6,684	6,571	6,596	6,807	6,494
Safety Members	812	922	957	968	957	927	889	893	884	902
Total	6,871	7,317	7,638	7,730	7,580	7,611	7,460	7,489	7,691	7,396
<b>Participating Agencies (General Members)</b>										
Clovis Veterans Memorial District	8	9	8	5	6	4	3	4	3	4
Fresno County Office of Education	0	0	0	0	0	1	1	1	1	1
Fresno Mosquito and Vector Control	6	8	7	8	8	9	9	10	10	10
Fresno-Madera Area Agency on Aging	31	31	33	35	37	36	36	36	37	34
North Central Fire Protection	0	0	0	5	5	6	7	7	7	6
Total	45	48	48	53	56	56	56	58	58	55
<b>Participating Agencies (Safety Members)</b>										
North Central Fire Protection	0	0	0	39	40	40	37	40	39	40
Total	0	0	0	39	40	40	37	40	39	40
<b>Total Active Members</b>										
General Members	6,104	6,443	6,729	6,815	6,679	6,740	6,627	6,654	6,865	6,549
Safety Members	812	922	957	1,007	997	967	926	933	923	942
Total	6,916	7,365	7,686	7,822	7,676	7,707	7,553	7,587	7,788	7,491

Note: North Central Fire Protection District withdrew active membership from the Retirement Plan as of August 31, 2007.

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION  
SCHEDULE OF EMPLOYER'S CONTRIBUTION RATES**

Effective Dates			General			Safety		Actuarial Report for Year Ended	
			Tier 1	Tier 2 <sup>4</sup>	Tier 3 <sup>5</sup>	Tier 1	Tier 2 <sup>4</sup>		
July 1, 2009	to	June 30, 2010	27.82%	25.64%	24.36%	42.19%	41.21%	06/30/08	<sup>1</sup>
July 1, 2008	to	June 30, 2009	26.71%	24.86%	22.86%	38.56%	35.84%	06/30/07	<sup>1</sup>
July 1, 2007	to	June 30, 2008	23.36%	21.15%	21.80%	31.34%	29.37%	06/30/06	<sup>1</sup>
July 1, 2006	to	June 30, 2007	18.37%	N/A	N/A	20.76%	N/A	06/30/05	<sup>1</sup>
July 1, 2005	to	June 30, 2006	14.14%	N/A	N/A	25.02%	N/A	06/30/04	<sup>1</sup>
July 1, 2004	to	June 30, 2005	15.71%	N/A	N/A	21.23%	N/A	06/30/03	<sup>1</sup>
July 1, 2003	to	June 30, 2004	15.38%	N/A	N/A	20.75%	N/A	06/30/02	<sup>1</sup>
July 1, 2002	to	June 30, 2003	7.20%	N/A	N/A	24.88%	N/A	06/30/00	<sup>1</sup>
October 1, 2001	to	June 30, 2002	0.00% <sup>3</sup>	N/A	N/A	21.87% <sup>2,3</sup>	N/A	06/30/00	
July 1, 2000	to	September 30, 2001	0.00% <sup>3</sup>	N/A	N/A	0.00% <sup>3</sup>	N/A	06/30/98	

<sup>1</sup> Non aggregate rates are reported in the valuation prepared for these years only.

<sup>2</sup> The employer contribution rates reflect the aggregate rates as provided by Actuary.

<sup>3</sup> Employer rates were reduced through the use of undistributed earnings.

<sup>4</sup> New benefit tier effective September 2005.

<sup>5</sup> New benefit tier effective December 2007.

<sup>6</sup> Includes a correction to the rate reported at June 30, 2008.

Note: As of fiscal year ended June 30, 2008, rates will be displayed by benefit tiers.

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION  
SCHEDULE OF RETIRED MEMBERS BY TYPE OF BENEFIT**

Monthly Benefit Amount	Members receiving a benefit	Type of Retirement <sup>1</sup>							Option Selected <sup>2</sup>					
		1	2	3	4	5	6	7	U	1	2	3	4	D
\$1 - 500	302	269	5	3	2	6	1	16	199	10	82	3	1	7
501 - 1,000	742	625	39	5	11	31	2	29	573	27	113	16	1	12
1,001 - 1,500	899	768	50	24	6	24	2	25	711	33	110	34	1	10
1,501 - 2,000	711	622	26	27	7	10	3	16	580	28	83	15		5
2,001 - 3,000	1117	957	19	109	8	7	7	10	955	40	89	26		7
3,001 - 4,000	670	601	4	50	7	5	3		579	23	52	13		3
4,001 - 5,000	403	389	1	12			1		341	11	38	12		1
5,001 - 6,000	277	269		7	1				247	11	19			
Over 6,000	388	379		8				1	349	5	28	5		1
Totals	<b>5,509</b>	<b>4,879</b>	<b>144</b>	<b>245</b>	<b>42</b>	<b>83</b>	<b>19</b>	<b>97</b>	<b>4,534</b>	<b>188</b>	<b>614</b>	<b>124</b>	<b>3</b>	<b>46</b>

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**Notes:**

<sup>1</sup> Type of Retirement

- 1 = Normal retirement
- 2 = Non service connected disability
- 3 = Service connected disability
- 4 = Beneficiary payment - normal retirement
- 5 = Survivor non service connected disability
- 6 = Survivor service connected disability
- 7 = Ex spouses

<sup>2</sup> Option Selected:

- U = Unmodified: Eligible Surviving Spouse receives 60% continuance.
- The following options reduce the retired member's monthly benefit:
  - 1 = Beneficiary receives funds remaining in member's account.
  - 2 = Beneficiary receives 100% continuance of member's reduced monthly benefit.
  - 3 = Beneficiary receives 50% continuance of member's reduced monthly benefit.
  - 4 = Multiple beneficiaries receive a continuance calculated by Retirement Board's actuary.
  - D = Beneficiary receives disability retirement continuance for eligible active member death.

**FRESNO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION**  
**SCHEDULE OF BENEFITS AND REFUND DEDUCTIONS FROM PENSION PLAN NET ASSETS BY TYPE**  
**Last Ten Fiscal Years**  
(Amounts expressed in Thousands)

<b>Type of Benefit</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>
Service Benefits										
General	\$ 52,480	\$ 65,113	\$ 72,875	\$ 83,795	\$ 90,517	\$ 96,590	\$ 100,807	\$ 110,819	\$ 120,975	\$ 131,465
Safety	10,529	15,378	18,710	22,012	23,233	23,148	20,542	21,074	23,014	24,759
Service Connected Disability <sup>1</sup>										
General							2,178	2,278	2,447	2,746
Safety							4,212	4,763	4,999	6,211
Non-Service Connected Disability <sup>1</sup>										
General							1,774	2,210	2,324	2,269
Safety							152	156	156	148
Non-Service Connected Disability Continuance										
General							923	1,000	1,070	1,118
Safety							129	133	135	139
Service Connected Disability Continuance										
General							136	141	142	126
Safety							317	327	335	357
Active Death Benefits <sup>2</sup>	872	1,293	1,303	1,245	1,379	1,255	310	171	186	188
<b>Total Benefits</b>	<b>\$ 63,881</b>	<b>\$ 81,784</b>	<b>\$ 92,888</b>	<b>\$ 107,052</b>	<b>\$ 115,129</b>	<b>\$ 120,993</b>	<b>\$ 131,480</b>	<b>\$ 143,072</b>	<b>\$ 155,783</b>	<b>\$ 169,526</b>
<b>Type of Refund <sup>3</sup></b>										
Death							\$ 205	\$ 345	\$ 304	\$ 338
Miscellaneous - UAAL <sup>4</sup>							-	4,140	13	1
Separation	\$ 1,146	\$ 870	\$ 904	\$ 941	\$ 1,403	\$ 1,185	1,909	1,587	1,760	1,576
<b>Total refunds</b>	<b>\$ 1,146</b>	<b>\$ 870</b>	<b>\$ 904</b>	<b>\$ 941</b>	<b>\$ 1,403</b>	<b>\$ 1,185</b>	<b>\$ 2,114</b>	<b>\$ 6,072</b>	<b>\$ 2,077</b>	<b>\$ 1,915</b>

<sup>1</sup> Prior to fiscal year 2007, all Disability Benefits were reported with Service Benefits.

<sup>2</sup> Prior to fiscal year 2007, Active Death Benefits included survivor continuances for service connected disability and non-service connected benefits. Beginning in 2007, survivor continuance for service connected disability and non-service connected disability benefits are reported separately.

<sup>3</sup> Prior to fiscal year 2007, data was not available to categorize refunds.

<sup>4</sup> UAAL means Unfunded Actuarial Accrued Liability.

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